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ABSTRACT

Drawing on materials from a variety of sources, the authors of this guide survey the advantages and disadvantages of management by objectives (MBO), describe common errors made in setting objectives and in operating an MBO system, and provide samples of MBO planning calendars. The emphasis in most of these materials is on MBO as a means of personnel evaluation and program evaluation. Appendixes contain suggested forms for these kinds of evaluation. (DS)

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MANAGEMENT BY OBJECTIVES

(Program and Personnel)

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by

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April, 1977

EA 010 502

THIS MONOGRAPH IS ONE OF A SERIES OF MONOGRAPHS ON APPLICATION OF MANAGEMENT PRINCIPLES TO EDUCATIONAL ORGANIZATIONS.

- *Developing Performance Objectives*
- *Establishing Goals and Goal Priorities*
- *Time Management*
- *Management by Objectives*
- *Organizational Structure and Climate* *
- *Effective Meeting Management*
- *Program Evaluation*
- *Interpersonal Communications*
- *Managerial Styles*
- *Statistics for the Building Administrator, Project Director, Teacher*
- *Personnel Evaluation* *
- *Comprehensive Needs Assessment* *
- *School Community Councils and Advisory Boards: A Monograph for Administrators* *
- *Establishing Goals, Priorities and Needs Assessment* *

* *In Process*

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BACKGROUNDS TO MBO

Generally these major thrusts have contributed in the evolution of MBO:

1. *Industry from World War I to the present.*
2. *Federal Government, especially from the beginning of World War II in the Department of Defense and then after the war to other departments of government.*
3. *Budgetary controls, especially through the Planning, Programming, Budgeting System approach.*

General evolution:

Phase 1: During the early stages of its application, MBO was narrowly focused on evaluating the performance of managers. The emphasis was on performance appraisal.

Phase 2: A much broader view prevailed during the late 1960's. MBO was used to facilitate planning and control.

Phase 3: Within the past few years, MBO has emerged as a system designed to integrate key management functions and activities in a logical and consistent manner.

> There are three traditional approaches to managing people. There is the welfare approach, which sees people as problems which need help. There is the personnel management approach, which sees activities and chores to be performed whenever large numbers of people have to work together. Third is the approach which sees labor as a cost and as a threat and sees the job in controlling cost and in fighting "crises".
>
> Drucker, MANAGER: TASKS, RESPONSIBILITIES, PRACTICES, p. 304

SOME GENERAL QUOTES AND DEFINITIONS OF MBO

- *MBO is a method of two-way communication between a subordinate and his supervisor aimed at establishing mutually-understandable and acceptable job performance standards.*
- *MBO is a way of getting improved results through managerial action. It is not an addition to the manager's job, but a way of doing it.*
- *MBO establishes the individual's accountability for performance of tasks necessary to achieve the overall organizational goals.*
- *MBO tells us what is expected in terms of staff objectives consistent with organizational goals.*
- *MBO helps us develop teamwork by identifying common purposes.*
- *MBO sets deadlines for tasks, thus helping us program our work.*
- *MBO improves production through deriving mutual agreement on objectives and appraisal of accomplishments in relation to those objectives.*
- *MBO is not a separate organization or a system.*
- *MBO is a <u>way</u> or a <u>process</u> of managing an enterprise through a determination of the degree to which an organization is reaching its objectives. The results of MBO, therefore, are a measure of the accountability of the organization and the accountability of each manager for performance of his/her tasks which are necessary for the achievement of the organizational goals.*

TAKING ALL THE ABOVE INTO ACCOUNT, A DEFINITION MIGHT BE AS FOLLOWS:

> **MBO is a systematic process for determining the degree of success of an enterprise by setting forth specific objectives throughout the organization, assessing the degree of attainment of these objectives at every level, and utilizing this information in allocating the resources of the enterprise and the energies of its staff; all of which is done through the active participation and involvement of its personnel.**

ADDITIONAL DEFINITIONS USEFUL TO AN UNDERSTANDING OF MBO IN THE PUBLIC SECTOR

1. *Philosophy:* *A composite statement of the beliefs about the inter-relationships and values of the organization and the clients and society it serves. The philosophy is the framework within which organization goals and objectives are developed.*

2. *Goal:* *A statement of broad direction or intent which is general and timeless and is not concerned with a particular achievement within a specified time period.*

3. *Objective:* *A desired accomplishment that can be verified within a given time and under specifiable conditions; the accomplishment of such specified objectives will move a program or an individual toward the attainment of goals.*

4. *Activities:* *High-level tasks carried out by participants, which, when completed, help achieve specified program goals and objectives.*

5. *Tasks:* *Low-level activities, a combination of which comprise an activity.*

6. *Policies:* *Broad general statements of the position of an organization generally adopted by top management or a Board. Policies differ from goals in that goals are achievements to aspire to whereas policies are position statements about the manner in which an organization shall function.*

7. *Administrative Rules and Regulations:* *Specified actions or procedures to be taken by individuals or programs in the implementation of policies.*

BENEFITS OF MANAGEMENT BY OBJECTIVES AS VIEWED BY GEORGE L. MORRISEY *

1. *It encourages commitment rather than compliance.*
2. *It encourages innovation balanced by reality.*
3. *It enables every manager to be President.*
4. *It encourages negotiation and mutual agreement.*
5. *It reduces or eliminates the need for the word "can't".*
6. *It provides a rational basis for review and feedback on progress toward objectives.*
7. *It encourages inter-group communication and teamwork.*
8. *It provides a common language base.*
9. *It provides a tangible rationale for budgeting/funding requests.*

> Real progress can only be measured in relation to what one is trying to make progress toward.
>
> Rodney H. Brady

* Adapted from Management by Objectives and Results in the Public Sector by George L. Morrisey, Addison Wesley Publishing Company, Reading, Mass., 1976.

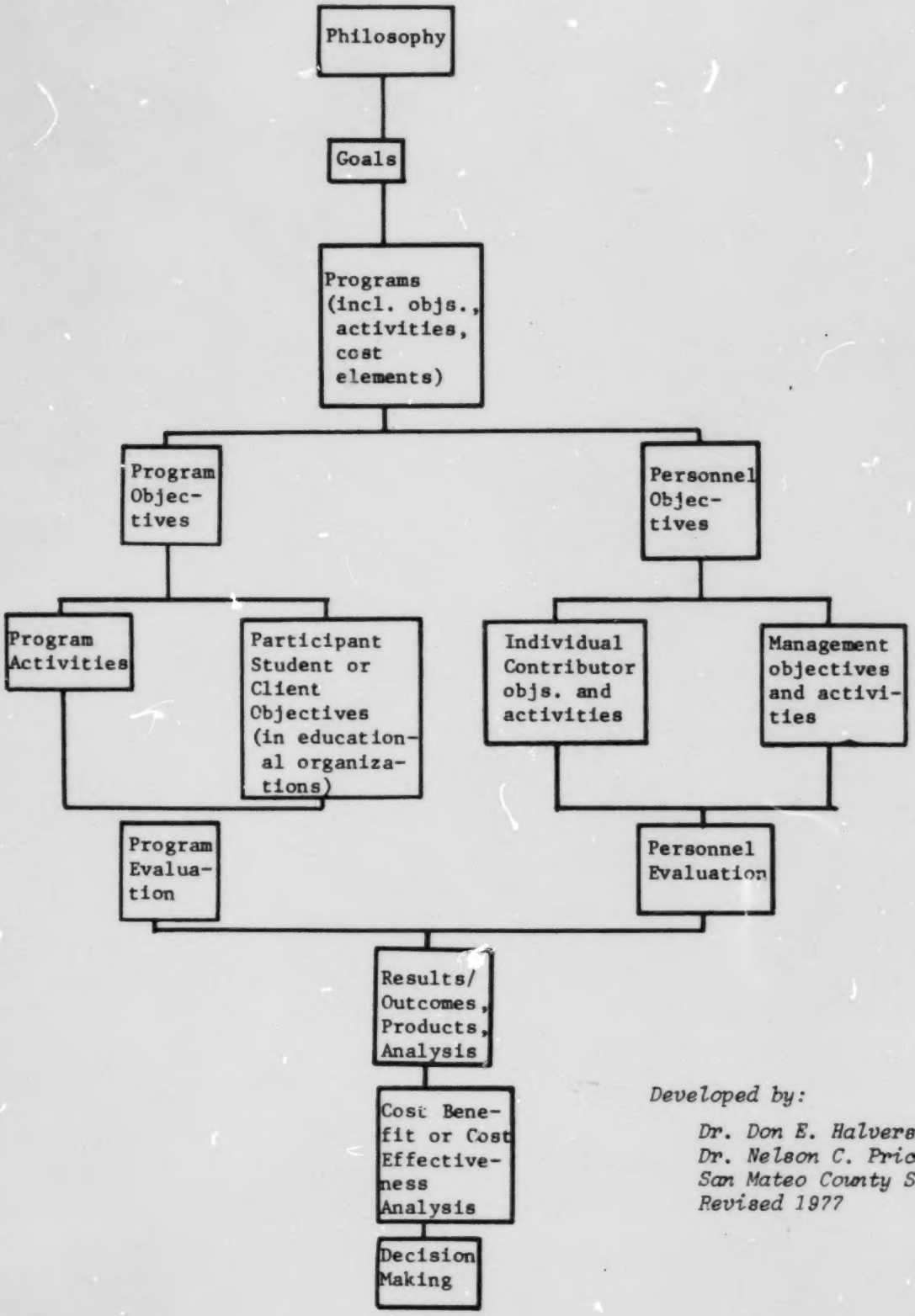
ADVANTAGES AND POSITIVE ASPECTS OF MBO

1. *Results oriented; focuses on objective achievement.*
2. *Creates unity and teamwork.*
3. *Helps system identify problems and set priorities.*
4. *Focuses efforts of staff on same target.*
5. *Makes planning and work execution of staff better understood by all.*
6. *Creates master plan for efforts for specific time period.*
7. *Provides time phase action steps to reach objectives.*
8. *Fixes responsibility at each level on certain individuals.*
9. *Measures accomplishments.*
10. *Provides managers with a management tool for decisive management and leadership.*
11. *Provides for participatory management through involvement of staff.*
12. *Makes commitments to specific results at specific times.*
13. *Keeps dialogue open on problems and facilitates communication.*

A summary of the advantages then would be:

- Better results
- Lower costs
- Improved performance
- Improved quality of service
- Development of the staff
- Self-actualized employees

INTER-RELATIONSHIP OF PLANNING ELEMENTS WITHIN AN ORGANIZATIONAL SYSTEM



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San Mateo County Schools
Revised 1977

MAJOR ELEMENTS OF MBO

Although the number of elements varies according to the author, these examples will give a basis of comparison:

A. An action pattern as adapted from Van de Water and Associates, Canoga Park, California: *This example exphasizes program objectives and evaluation with subsequent or correlary personnel evaluation*

1. Setting total goals for the organization
   a. Strategic objectives point toward yielding a higher return on investment
   b. Tactical objectives point toward increasing productivity
      - operating
      - administrative
2. Involving managers in specification of performance objectives
   a. Generate response to total goals
   b. Review potentials for improved contribution
   c. Agree to statement of Manager Charter: responsibility, authority, accountability, objectives
   d. Test quality of objectives statements
   e. Obtain commitment to objectives accomplishment
3. Determining the action plans for required results
   a. Sequence action steps
   b. Phase time deadlines
   c. Allocate available resources
   d. Fix accountability
   e. Check out action plans to objectives
4. Implementing action plans to target dates
   a. Assign required tasks
   b. Develop performance capability
   c. Direct problem solving process
   d. Correct performance variances

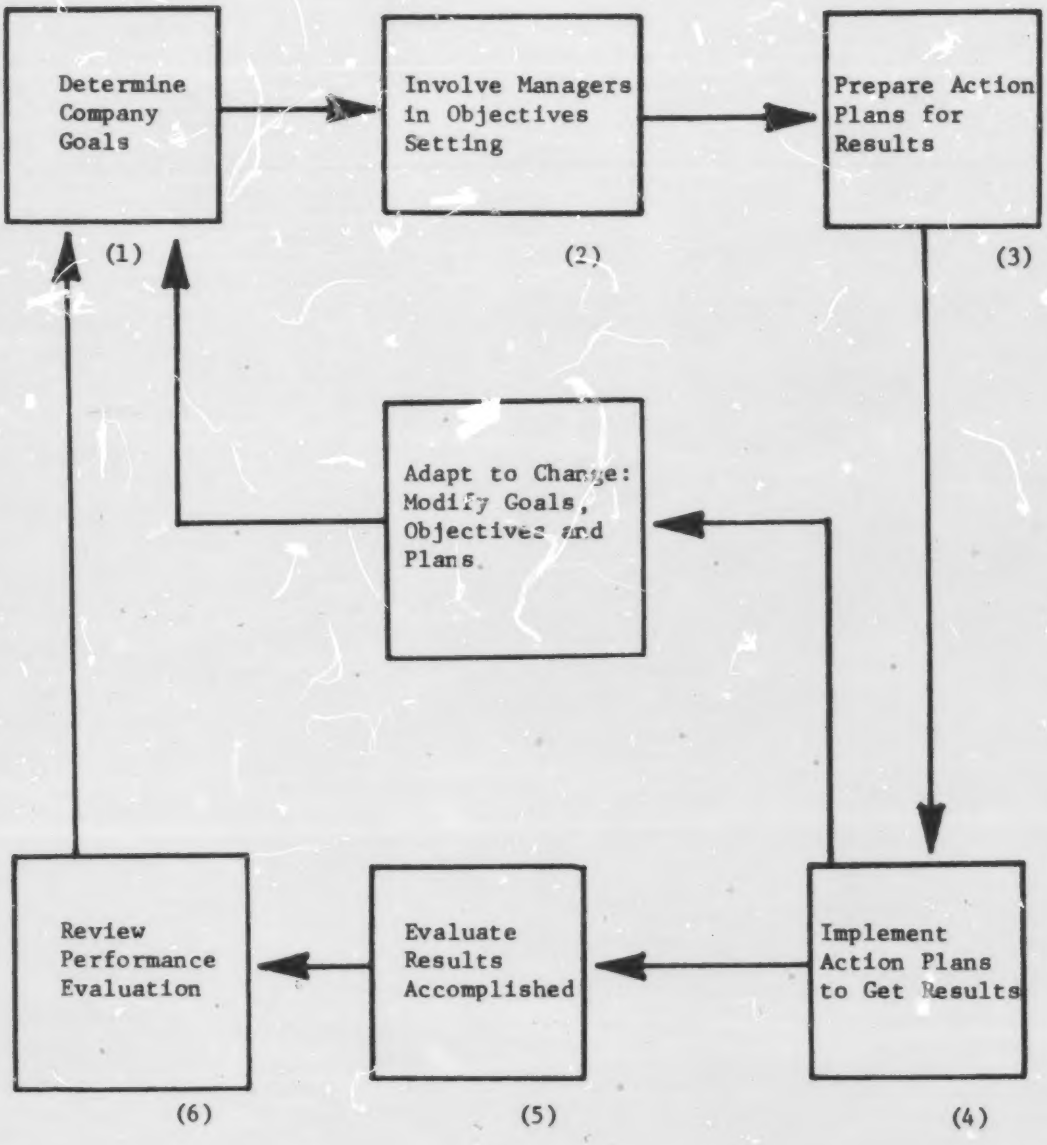
5. Measuring the results accomplished as contribution to total goals

   a. Identify who accomplished what objectives
   b. Relate accomplishments to total goals
   c. Reward outstanding contribution
   d. Acknowledge exceptional effort
   e. Evaluate lack of accomplishment
   f. Determine needs for improvement

> Responsibility built into the work force from top to bottom is needed, above all, to reverse the erosion of management authority which is a threat to the functioning of management and of our institutions altogether. Carrot and stick no longer suffice. But nothing has truly taken their place. As a result there is an authority vacuum. It is most noticeable among the knowledge workers in business, in the government agency, and in the other service institutions. Its symptom is cynicism--a more dangerous disease than rebellion against authority. The only way to counteract it and to restore management's authority is to demand responsibility of each member of the work force.
>
> Drucker, MANAGER: TASKS, RESPONSIBILITIES, PRACTICES, p. 302.

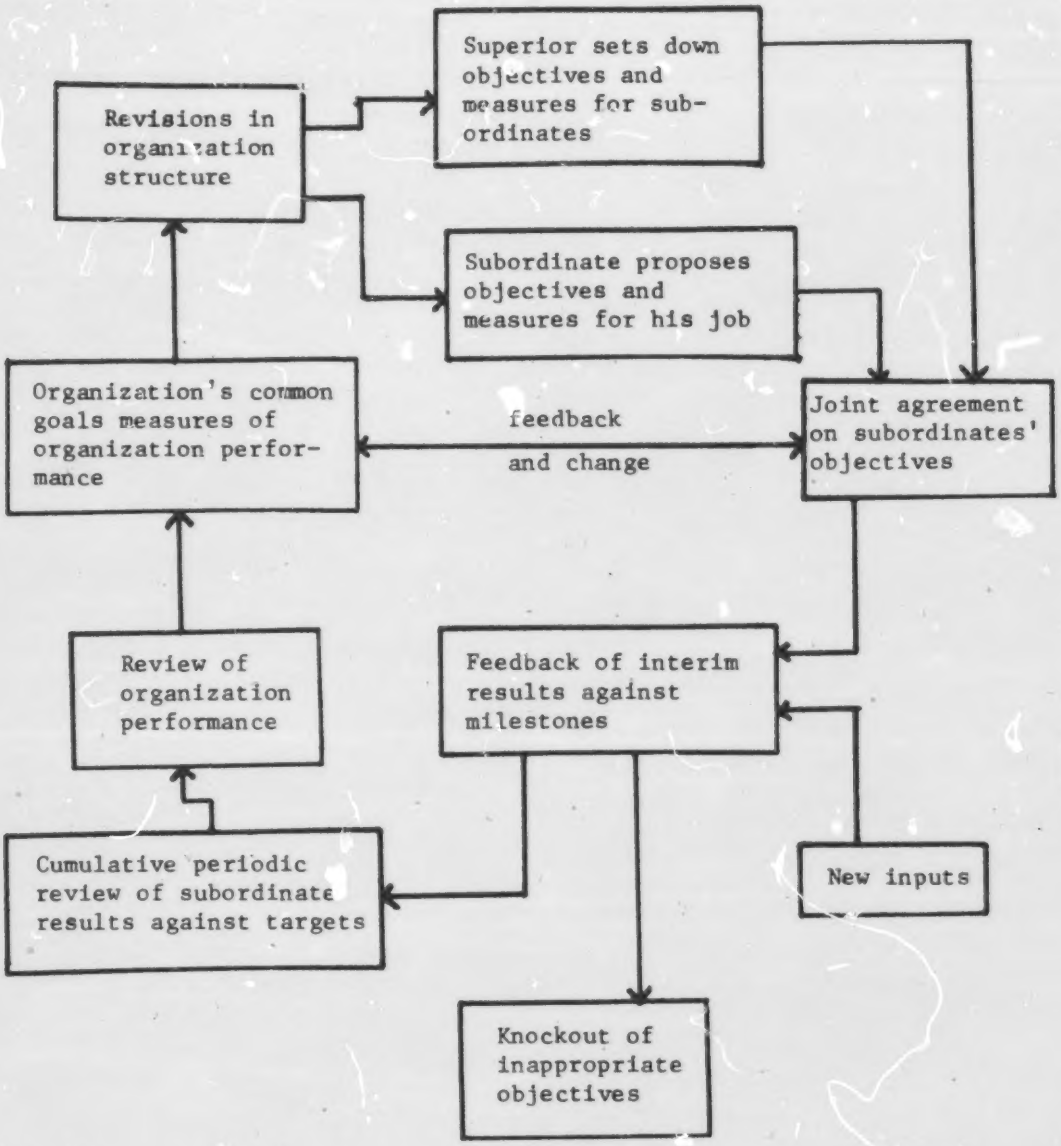
MANAGING BY OBJECTIVES AND RESULTS

(MOR)



Adapted from:
Van de Water and Associates
Canoga Park, CA.

The MBO cycle as developed by George Odiorne. Some adaptations have been made to conform to the differences in terms used in the public sector versus the private sector. *This example emphasizes program objectives and evaluation.*


Superior sets down objectives and measures for subordinates
Revisions in organization structure
Subordinate proposes objectives and measures for his job
Organization's common goals measures of organization performance
feedback
and change
Joint agreement on subordinates' objectives
Review of organization performance
Feedback of interim results against milestones
Cumulative periodic review of subordinate results against targets
New inputs
Knockout of inappropriate objectives

Each box should not be considered to consume an equal amount of time as the other boxes. The most time-consuming aspect of this cycle is the joint agreement on subordinates' goals.

Adapted from: MANAGEMENT BY OBJECTIVES, George Odiorne, p. 78.

A 9-step process recommended by Mrs. Betty Mage, Executive Director, Health and Welfare Planning Council of Clark County, Vancouver, Washington: *This process emphasizes personnel evaluation.*

The First Step is the development of a policy statement by the Board of Trustees or directors which includes: recognition of all staff for their vital contribution to the learning experiences of students, the need for full staff participation in the development of institutional goals, the dedication of the board to the concept of providing opportunities for staff growth and development, and the financial remuneration warranted by the profession.

Step Two should include administrative procedures which allow for full participation of staff and board members in the development of education goals.

Step Three includes the development of a job description for the chief administrator. This task must be a mutual activity between the chief administrator and the board. Unilateral action will not lead to an acceptable or meaningful job description. Job descriptions for staff members can be developed based on the same concept. Individual work standards should be included in each job description.

In Step Four the board officially adopts the goals for the institution, job descriptions for staff, and establishes a performance review policy based on educational goals.

In Step Five the duties and responsibilities of the board of directors are either legally or organizationally prescribed; therefore the board members, in cooperation with the chief administrator, develop objectives for the board, as a whole, directed toward the accomplishment of their prescribed duties and the institution's educational goals. Individual board members develop their own objectives in relation to the board's objectives.

The Sixth Step has individual staff members develop their own performance objectives which contribute to institutional goal accomplishment. Staff objectives are mutually-agreed upon by the individual teacher or administrator with his immediate superior. For example, the president establishes his performance objectives in concert with the board of directors.

The evaluation process begins in Step Seven with the chief administrative officer. The administrator's performance is reviewed by the board of directors. Criteria for the review is the job description and objectives which have been mutually-agreed upon by the administrator and the board. The administrator evaluates and rates himself in writing against each objective and criterion of his job description. Individual board members evaluate the administrator in the same manner.

Attention is focused on the areas requiring improvement with the accent being to achieve improvement in the months to come. Equally important to note are the areas of the job well done. During this step, board members come together as a group. Each board member states his rating and rationale for the rating. The mean of the sum total of ratings for each criterion becomes the rating of the administrator's performance. The chairman of the board prepares in writing a summary of the board's rating and its comparison to the administrator's own rating. The entire board then meets with the chief administrator, and the chairman of the board presents the evaluation. Open communication is maintained, and the administrator is given the opportunity to state his views and pose questions to the board.

Following the evaluation session, the chief administrator establishes objectives for self improvement which are mutually-agreed upon by the board, and these objectives become the criteria for the next annual review.

Step Eight includes an evaluation of the board. This evaluation actually begins when the trustees evaluate the chief administrator. His or her evaluation demonstrates to the Board their own effectiveness or ineffectiveness. Hopefully from this step, the board can increase its effectiveness and awareness of their duties as trustees. Individual trustees should also review their own performance as board members. The board should assess its own effectiveness as it relates to the objectives established by the board as a whole. In some cases, input from the chief administrator is also useful to clarify the board's ability to communicate, understand problems, and so forth.

In Step Nine the president evaluates those administrators accountable to him, and the process occurs down the line until all personnel have received a performance review. The performance review is all inclusive, including both certificated and certified personnel.

> MBO is perhaps better perceived as a muscle than as merely a tool. The more it us used, the stronger and more necessary it becomes. However, if MBO is merely a management system on paper and is not allowed to be exercised as an integral part of running an organization, it will atrophy and become useless.
>
> Rodney H. Brady

This MBO planning calendar and steps in MBO cycle emphasizes program objectives.

MBO PLANNING CALENDAR

Steps in MBO Cycle		Typical Completion Deadline Date
Step 1	- Needs Assessment	By January 1, prior to beginning of next academic year
Step 2	- Tentative Performance Priorities	By February 1, prior to beginning of next academic year
Step 3	- Staff Critique of Tentative Performance Priorities	By March 1, prior to beginning of next academic year
Step 4	- Final Performance Priorities	By March 15, prior to beginning of next academic year
Step 5	- Departmental or School Unit Priorities	By April 1
Step 6	- Written Objectives from Each Department or School Unit	By April 15
Step 7	- Central Office Approval of Objectives	By May 1
Steps 8 and 9	- Final Objectives Written by Each Unit and Operational Planning Completed	By June 15
Step 10	- Operational Execution of Time-Phased Action Steps	From opening of academic year until its close
Step 11	- Year-End Review of MBO Accomplishments	As soon as possible after Step 10

Bell, Terrel H., A PERFORMANCE ACCOUNTABILITY SYSTEM FOR SCHOOL ADMINISTRATORS, Parker Publishing Company, West Nyack, New York, 197[illegible].

1977 Planning Calendar for Program/Budget Development in HEW

TOP PUBLIC EXECUTIVES IN WASHINGTON ARE USING THE BUDGETARY PROCESS AS A SURROGATE BOTTOM LINE

This new management system is called the "cooperative agency management system (CAMS)". Despite significant turnover in top management ranks, CAMS continues with relatively few modification as the basic management system in both departments. The aim is to accomplish six management objectives seldom achieved in complex government agencies:

(1) Secretary can base his direction of departmental policy making on his priorities.

(2) Secretary and his key advisers will be able to spend most of their time on important issues rather than be consumed by numerous small issues.

(3) Due process in departmental decision making is fostered by ensuring that agency officials with an interest in an issue will have their say and thus reduce interoffice distrust and anxiety.

(4) Relevant evidence is gathered and presented, alternative approaches considered, and opposing viewpoints heard.

(5) Departmental management activities are coordinated so that the work load for program managers does not peak unreasonably and so that the number of different, conflicting, or duplicate directives is reduced.

(6) Decision making is simplified by cutting down on paperwork.

To ensure that bureaus and agencies take CAMS seriously, the calendar is coordinated with the budget process--the one management process taken seriously by all subordinate units.

The first critical date on the master calendar is February 15. That is about when the secretary issues a document called THE PLANNING GUIDANCE MEMORANDUM. THE PLANNING GUIDANCE MEMORANDUM provides bureaus and agencies with the following information:

(1) Strategic guidance on presidential and secretarial policies that should be reflected in bureau and agency plans.

(2) General fiscal guidance, including specific budget targets for the fiscal year being considered, and similar, though less precise, targets for the four fiscal years beyond.

(3) *Legislative guidance stipulating the need for information, regarding expiring legislation and new initiatives to be considered.*

(4) *Program planning assumptions and factors that are to be used by all agencies within the department in determining costs and making projections.*

(5) *Guidance necessary for the production of research and development and of evaluation plans.*

(6) *Guidance concerning the selection of program objectives, to be monitored by the president and the secretary in the government-wide management by objectives (MBO) system.*

THE PLANNING GUIDANCE MEMORANDUM directs the bureau and the agency heads to develop plans and tentative budget allocations for their organizations. It thus lays the groundwork for the second major milestone of the master calendar--the submission by May 15 of bureau and agency plans for the fiscal year under consideration and for the four years beyond.

(1) *A narrative discussion of the goals and objectives for the bureaus and offices and the strategy to be pursued to attain these goals and objectives.*

(2) *An allocation of the budget target for the budget year and the cost implications of these allocations for five years.*

(3) *Legislative initiatives for the budget year and subsequent years with recommendations concerning time and cost.*

(4) *Regulatory and other initiatives of substantial consequence and impact on Interior's Program.*

(5) *Proposed bureau and office actions, such as the initiation of feasibity studies, which may generate departmental commitments even though they have little or no immediate budgetary effect.*

The completion of the bureau and agency plans and their submission to the secretary leads to the third master calendar step. During the remainder of May and June, analysts from the secretary's staff offices responsible for sections of the planning guidance memorandum work as teams reviewing the bureau and agency plans. The teams are usually formed around program areas.

Using the overview memorandum and secretarial issue papers as the agendas for discussion, the secretary holds a series of two to four hour meetings during late July or early August with his key staff advisers and program managers and their top staff advisers. The meetings that use the secretarial issue papers as agendas provide a forum for discussing the major decisions the secretary faces before submitting his budget and legislative plan to OMB and the president for their approval.

Following this series of meetings, the policy assistant secretary prepares a second overview memorandum for the secretary. This memorandum summarizes the discussions and arguments given, describes the central uncertainties that cannot be resolved before decisions are made, and provides a series of options for budget allocation and legislative strategy. By the middle of August, the secretary communicates to the bureaus and agencies his tentative program, budget, and legislative decisions, made on the basis of his consideration of the issues and the arguments presented in earlier meetings and the latest overview memorandum. This new directive, which constitutes step five in the master calendar, signals the start of final budget and legislative drafting.

The sixth milestone in the master calendar at the end of September is the submission of the department's budget and legislative program to OMB for review by the Executive Office of the President. This submission marks the start of negotiations between OMB and the department over spending levels, program operations, future commitments implied by the budget, and legislative initiatives. The final step in CAMS takes place in late November or early December. A few days are set aside for a meeting of the secretary and approximately 30 key line and staff officials. The subject of the meeting is the team's effectiveness in managing the department. At this meeting, the secretary's long-range goals are discussed, the budgetary and legislative successes and failures in support of these goals are identified, the issues that need study before the next series of meetings six to eight months away are assigned, and the focus and tone of the planning guidance memorandum to be published in February are hammered out.

"Public Agency Management", Harvard Business Review, January-February 1977. Excerpts from Pages 144-153.

A suggested planning calendar for program evaluation

SAN MATEO COUNTY OFFICE OF EDUCATION

1977-78 BUDGET DEVELOPMENT AND EVALUATION STEPS

Who	What	For Whom	When
Business Office	Provide Fiscal Analysis (Projection of Programs)	Budget Cabinet	on Dec. 1, 1976
Supt/Budget Cabinet	Present Guidelines	Staff	by Dec. 15
Supt	Present Fiscal Analysis and Guidelines	Board	on Dec. 15
Division Heads and Staff	Develop Change Proposals	Budget Cabinet	in Jan and Feb. 1977
Budget Cabinet	Review and Screen Change Proposals		in March
Supt	Screen and Prioritize Change Proposals	Budget Cabinet	by April 1
Division Heads	Provide Program Narrative	Deputy Supt.	by March 15
Division Heads	Provide Budget Estimates	Business Office	by March 15
Division Heads	Present Change Proposals	Board	in April and May
Business Office	Provide Proposed Budget	Board and Staff	by June 15, 1977
Board	Adopt Budget		on August 3
Program Mgrs. and Division Heads	Provide Program Evaluation for 1976-77	Supt	by October 1
Division Heads and Supt	Provide Summary Reports on 1976-77 Evaluation	Board	by November 1, 1977

1.0 Certificated employee develops specific objectives and criteria based on:

- 1.1 Previous year of experience
- 1.2 Job Descriptions
- 1.3 County Office goals
- 1.4 Major Program Objectives
- 1.5 Student or Client Characteristics
  - 1.5.1 Physical factors
  - 1.5.2 Learning characteristics
  - 1.5.3 Emotional
  - 1.5.4 Motivational structure
  - 1.5.5 Others
- 1.6 Support Elements
  - 1.6.1 Materials
  - 1.6.2 Facilities
  - 1.6.3 Class or workload
  - 1.6.4 Social environment
  - 1.6.5 Support services and personnel
  - 1.6.6 Legal factors

Design in spring; complete by October 15

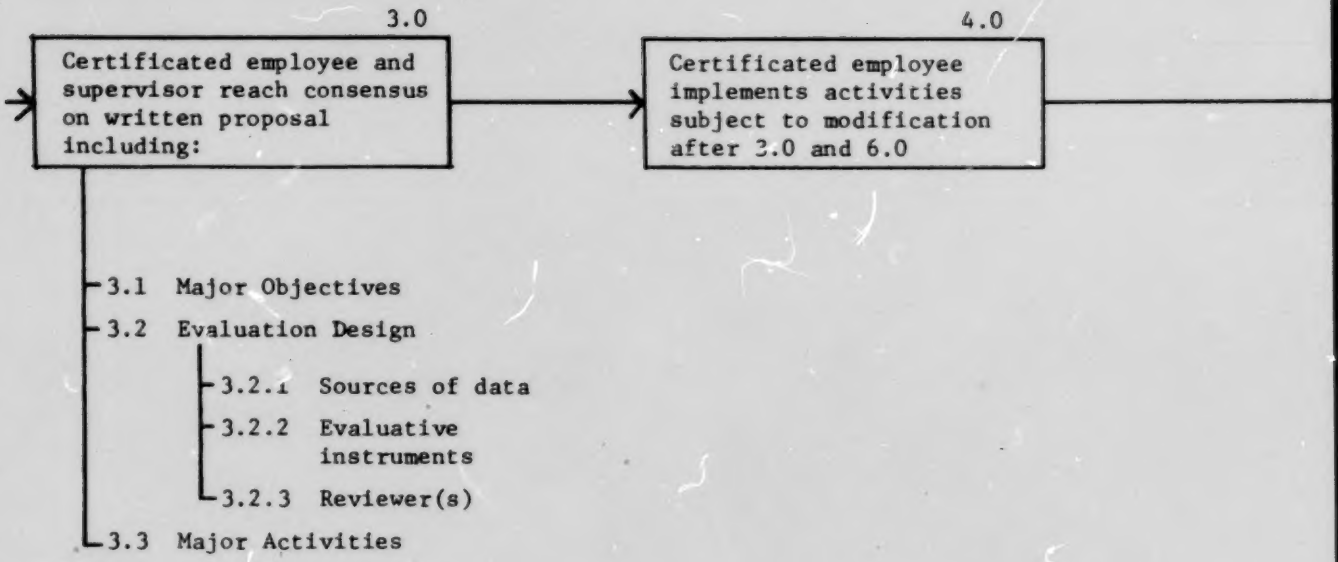
Developing Major Objectives:
Between the spring of the preceding year and October 15, each certificated employee develops written statements of his major objectives taking into account the experience of the previous year, the County Office goals, the major program objectives, the student or client characteristics, and the support elements of his particular assignment. These will be submitted on Form 3.0 which will then be utilized as a basis for reaching consensus.

2.0 Certificated employee recommends major activities and evaluation design based on 1.0

- 2.1 Supervisor and certificated employee review parameters
  - 2.1.1 Legal
  - 2.1.2 Financial
  - 2.1.3 Cultural
- 2.2 Certificated employee proposes major activities based on 1.0 and parameters
- 2.3 Certificated employee proposes evaluation design including sources of data, evaluative instruments, and reviewer(s)

Prepare in spring; complete by October 15

Developing Activities:
Utilizing the Form 3.0 prepared by the certificated employee, the supervisor and the certificated employee jointly review the activity parameters (2.1). The certificated employee then determines the major activities he will conduct based upon the specific objectives and the activity parameters. The certificated employee also recommends an evaluation design to ascertain the degree to which the objectives will be reached through conducting each major activity. Decisions to be made in the evaluation design include sources of data, instruments, reviewer(s) and timeline for collection and presentation of data.

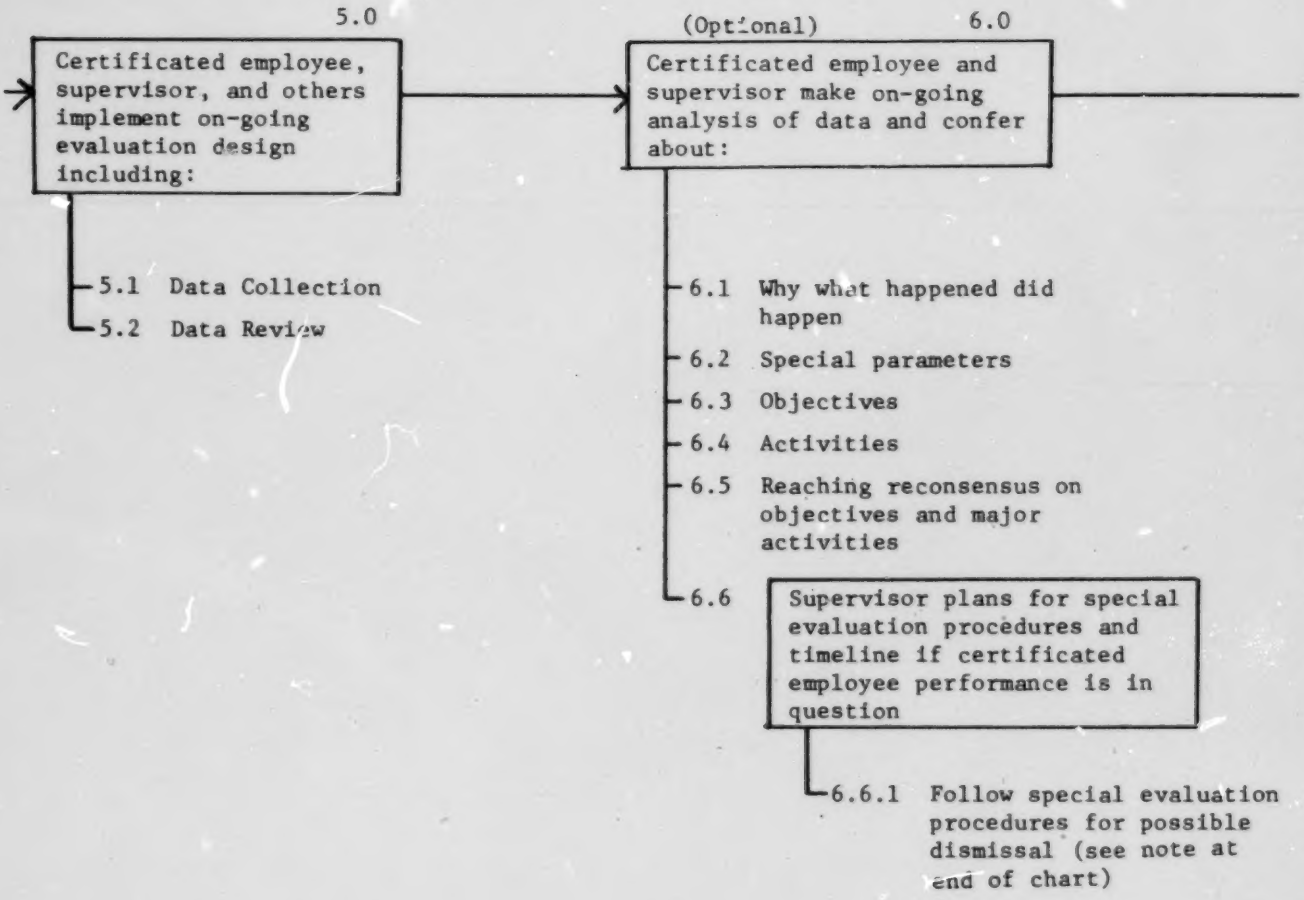

3.0
Certificated employee and supervisor reach consensus on written proposal including:
4.0
Certificated employee implements activities subject to modification after 3.0 and 6.0
3.1 Major Objectives
3.2 Evaluation Design
3.2.1 Sources of data
3.2.2 Evaluative instruments
3.2.3 Reviewer(s)
3.3 Major Activities

Complete by November 1

Start beginning of work year; continue until end of year

Reaching Consensus: Between October 15 and November 1, the supervisor and the certificated employee confer at a meeting scheduled by the supervisor and, considering all parameters, reach consensus on the certificated employee's written proposal including main objectives, major activities, and evaluation design. After revision, if any, both parties sign Form 3.0. Either the supervisor or certificated employee may append reservations about the plan if so desired. Each will retain a copy of the plan.

Implementing Activities: It is the responsibility of the certificated employee to implement the agreed-upon plan and the supervisor's responsibility to see that the designated program support is provided including technical consultation and inservice training in evaluation.


5.0
Certificated employee, supervisor, and others implement on-going evaluation design including:
5.1 Data Collection
5.2 Data Review
(Optional)
6.0
Certificated employee and supervisor make on-going analysis of data and confer about:
6.1 Why what happened did happen
6.2 Special parameters
6.3 Objectives
6.4 Activities
6.5 Reaching reconsensus on objectives and major activities
6.6 Supervisor plans for special evaluation procedures and timeline if certificated employee performance is in question
6.6.1 Follow special evaluation procedures for possible dismissal (see note at end of chart)

Beginning of work year to final evaluation conference (8.0)

January 1 - February 14

or at other appropriate time

Implementing Evaluation Design:
The certificated employee, supervisor, and others as designated collect data from a variety of sources relevant to the certificated employee's agreed-upon major activities and evaluation design (3.0); data to be at a maximum level of objectivity and organized for presentation at the mid-course evaluation conference (6.0). Developing specific data-collecting and reporting forms is the responsibility of each division or department.

On-going Evaluation Conference:
At an appropriate time, the supervisor conducts a scheduled mid-course conference at which time the certificated employee and supervisor jointly review the data to indicate the certificated employee's degree of success in conducting activities and reaching objectives. On the basis of this review, revisions, if any, in objectives, activities, and evaluation design are proposed and consensus reached. Both parties sign Form 6.0, each retaining a copy. Either the supervisor or certificated employee may indicate reservations about the plan in the space provided.

7.0

Certificated employee implements revised or continuing activity and evaluation procedures

After on-going conference to end of year

Continued Implementation: Following the on-going conference, the certificated employee continues the program, implements modifications, if any, and the supervisor provides designated program support.

8.0

Certificated employee and supervisor confer on process (evaluation) with reviewer(s) if desired

- 8.1 Including:
  - 8.1.1 Data Collection
  - 8.1.2 Data Analysis
  - 8.1.3 Achievement level determined (degree of attainment of objectives as indicated by data)
  - 8.1.4 Analysis of why what happened did happen relative to:
    - 8.1.4.1 Program
    - 8.1.4.2 Certificated Employee
    - 8.1.4.3 Evaluation Process
- 8.2 Supervisor completes evaluation summary
- 8.3 Certificated employee responds to supervisor's summary within two days
- 8.4 Supervisor files report with copy to employee

Complete 60 days before end of school or work year

Summary Evaluation Conference: Not later than 60 days prior to the end of the school or work year, the supervisor schedules the summary evaluation conference. Prior to the conference the certificated employee presents evaluative data on Form 8.0-DATA to the supervisor and to the reviewer(s). This data is then reviewed separately by the certificated employee who then completes Form 8.0-EMPLOYEE; by the supervisor who completes Form 8.0-SUPERVISOR; and by the reviewer(s) who complete(s) Form 8.0-REVIEWER(S). The evaluative data plus the comments of all three individuals is then reviewed in the summary evaluation conference attended by the supervisor and the certificated employee plus the reviewer(s) if desired by either of the others. Following the summary evaluation conference, the supervisor makes out a summary statement using Form 8.2-8.3 based upon the data and the comments plus the discussion at the summary evaluation conference. This summary statement will constitute evaluation and assessment and shall pertain specifically to the objectives, frequency and location of the activities considered for the purpose of the improvement of the future performance of the certificated employee. The certificated employee shall respond to the supervisor's summary on Form 8.2-8.3 within two days after which the supervisor retains a copy, files the report, and provides a copy to the employee.

9.0

Each certificated employee prepares own recommendations to be used as input to 1.0 succeeding year

- 9.1 Program Implementation
- 9.2 Evaluation Process

Immediately following 8.0 conference

Recommendations: Subsequent to the summary evaluation conference, the certificated employee submits recommendations to his/her supervisor in writing on Form 9.0 regarding program and evaluation procedures for the succeeding year.

Special Evaluation Procedures: In the event that the supervisor feels he has evidence that, despite the above process, the certificated employee cannot or will not perform satisfactorily, the supervisor shall at that point inform the certificated employee of that conclusion. He shall also advise the certificated employee of his/her rights under adversary proceedings as outlined under the Education Code Sections 13403 to 13489 and County Administrative Regulations. This latter step is separate and distinct from the staff evaluation plan and will follow a process and form provided by the administration.

As indicated previously the two major areas in which MBO can be most productive are:

Program Evaluation Personnel Evaluation

In many instances this two-fold system has not been identified.

In order to define procedures and forms, appropriate to each area, they have been identified separately in this monograph.

A. *PROGRAM EVALUATION*

As indicated previously, the first step in any MBO system is establishing the purpose, mission, or broad goals and philosophy of the organization followed by setting forth objectives for each program within the organization. Activities are then formulated to achieve the program objective(s) and an evaluation design developed and implemented to determine the degree to which the objective(s) is/are being reached. The final result is decision making based upon the evaluation. An example of a possible format is included on the next pages.

If an organization is consistently accomplishing 100% of its objectives, there is probably reason for concern rather than celebration. Objectives are not really effective unless an organization must "stretch" to reach them. During the last fiscal year, for example, approximately one-fourth of HEW's objectives were only partially achieved and another one-eighth fell far short of expectation. This is probably not an unhealthy balance.

Rodney H. Brady

Program Evaluation Plan

DESCRIPTION OF EACH PROGRAM CONDUCTED BY THE COUNTY OFFICE

1. Title _____

2. Program Manager: _____

3. Type of Program or Major Thrust: To provide planning and evaluation services to educational agencies in including monitoring evaluations, needs assessment, direct planning assistance, and inservice training in these areas. (This program will be coordinated with the _____ which provides many evaluation services.)

4. Students (if any): Number of Students ___ - Age Span ___ -

5. Clients: School and district personnel, 23 districts, plus various state agencies.

6. Staff: Number of Classified 1 Number of Certificated 1 (A similar staff is supported by _____

7. Facilities: Names, addresses, telephones, or locations:

7. Source of Funding: County Tax

8. Other Pertinent Information (history, special problems, etc.): Included as a Division of the County Office of Education in 1970, the _____ Program as a part of _____ Division in 1975. It functions as a support service program with responsibility to other programs of the County Schools Office as well as school districts in the county. _____ Program operates in cooperation and in conjunction with _____ an ESEA, Title V C _____ This will be the third and probably the final year of _____

Program Evaluation Plan

_____PROGRAM	1976-77

PROGRAM OBJECTIVE: To provide planning and evaluation services to the County Office of Education and to other educational agencies in the county including schools, districts and other county offices and State Department upon request. Materials developed, procedures utilized, and outcomes attained will be evaluated by personnel receiving the service.

SUB-PROGRAM OBJECTIVES

1.0 Development of Designs and Strategies: To develop designs and/or strategies for applying management concepts and skills to educational organizations. This includes the areas of planning, needs assessment, decision making, interpersonal and organization communication, evaluation, personnel and program management, etc. Designs and/or strategies developed will be evaluated on the basis of their theoretical soundness of practical applicability. (This objective will be partially met through the work of

2.0 Direct Planning Assistance: To provide direct planning assistance to educational agencies including schools, districts, county offices, and State Department upon request. Materials developed, procedures utilized, and outcomes attained will be judged successful by personnel receiving the service on the basis of plans or projects adopted, funded and/or implemented.

3.0 Inservice Training: To provide inservice training in areas related to educational planning or management (see 1.0) either through its own resources or through arrangements with others to each district in the county requesting it. Training will result in the application of designs and/or strategies and skills on the part of participants in the program. (Training in program evaluation will be conducted through

4.0 Program Operation: To supervise and coordinate the management of

Program Evaluation Plan

a. PROGRAM FORM (1976-77) PROGRAM: ___ DIVISION: ___ PROGRAM MANAGER: ___

SUB-PROGRAM OBJECTIVE: 2.0 Direct Planning Assistance: To provide direct planning assistance to educational agencies including schools, districts, county offices, and State Department upon request. Materials developed, procedures utilized, and outcomes attained will be judged successful by personnel receiving the service on the basis of plans or projects adopted, funded and/or implemented.

REFERRENT GOAL(S):[1] P.S. 1.C: Leadership for developing programs based on needs.
2.A: Models for involvement in problem identification.
2.B: Cooperative planning.
4.C: Encourage program evaluation.
6.A: Develop county office resources to meet needs.
6.B: Serve as a model of good practice.

Activities and Evaluation for Sub-Program Objectives 1.0, 3.0 and 4.0 are omitted to save space and time

ACTIVITIES	METHOD OF ASSESSMENT	EVALUATION: CRITERIA FOR SUCCESS
2.1 Assistance to other programs of the County Office (excluding inservice training): Provide direct planning assistance to other programs in conducting studies, planning workshops, evaluating, and developing internal plans of various kinds.	2.1.1 Written questionnaire and/or oral interview	Feedback by the Program Managers of the County Office will show 90% favorable response on the scales used.
2.2 Develop Forms: Develop program planning, budgeting, and evaluation forms for use in planning the County Office annual program budget.	2.2.1 Statement of adoption	Critique of forms by Program Managers followed by acceptance of the forms by the Cabinet.
2.3 Development of school and/or district need assessment, goals, priorities, interpersonal communication techniques, program and personnel evaluation designs and objectives, etc. Work with Boards, Superintendent, staff and/or community groups in the development of plans to implement these and other planning and management concepts and skills. Specifically tailored for the local situation.	2.3.1 Record of services	Number of districts involved (Minimum of five)
	2.3.2 Record of participation	Number of participants (No criteria possible)
	2.3.3 Minutes of meetings or other written communication	100% acceptance of products by Boards of Education and Superintendents
	2.3.4 Written questionnaire	Participant reaction forms (On a five point scale 90% will rate the activity above 2.0.)

[1] Referrent Goal(s) refer to those adopted by County Office of Education; thus, P.S. 1.B means Philosophy Statement 1, Goal B.

Program Evaluation Plan

a. SUB-PROGRAM FORM (continued) PROGRAM: _____

ACTIVITIES	METHOD OF ASSESSMENT	EVALUATION: CRITERIA FOR SUCCESS
2.4 Monitor Evaluations: On request to critique evaluation designs and/or reports, and to monitor the evaluation process used by various educational agencies within the County.	2.4.1 Log	Record of requests received and fulfilled (At least 10 such requests)
	2.4.2 Oral or written comments	Feedback from recipients; all recipients will express satisfaction with the service.
2.5 Assistance to other counties, agencies or State Department of Education: Provide planning and evaluation assistance to organizations or individuals, the results of which assistance will directly or indirectly facilitate the programs of the County Office of Education. (County Superintendents Legislative Committee, ACSA Studies, etc.)	2.5.1 File of projects and reports completed; informal feedback	All comments or feedback will express favor with the work of the staff even though the "product" may or may not be totally acceptable.

PROGRAM: PLANNING & EVALUATION DIVISION: EDUCATIONAL SUPPORT & PLANNING

DESCRIPTION OF REQUESTED PERSONNEL, SUPPLIES, EQUIPMENT, FACILITIES --	FISCAL YEAR (July 1 - June 30) 19__ - __ APPROVED BUDGET	19__ - __ TENTATIVE BUDGET	19__ - __ BUDGET BY ACTIVITY: DEVELOPMENT OF DESIGNS & STRATEGIES	DIRECT PLANNING ASSISTANCE	INSERVICE TRAINING	INSERVICE TRAINING EVALUATION	PROGRAM OPERATION
			2.0	2.0	3.0	0.0	3.0
(1000) CERTIFICATED SALARIES:							
1100 TEACHERS' SALARIES CLASSROOM							
1101 SUBSTITUTE TEACHERS "							
1102 HOURLY (NON CONTRACT) TEACHERS "							
1104 SUMMER SESSION SALARIES "							
1107 REMEDIAL SPEECH TEACHERS "							
1109 HEAD TEACHERS "							
1200 SCHOOL ADMINISTRATORS' SALARIES (Principals, Vice Principals)							
1204 SUMMER SESSION SALARIES							
(1300) SUPERVISORS' SALARIES (Supervision of Instruction)							
1301 COORDINATORS " " "							
1302 DIRECTORS " " "							
1303 CONSULTANTS " " "							
1400 LIBRARIANS' SALARIES (For Salaries of all certificated personnel performing services of librarian)							
(1500) GUIDANCE, WELFARE & ATTENDANCE SALARIES (For salaries of all certificated personnel doing pupil personnel work)							
1501 SOCIAL WORKERS							
1502 PSYCHOLOGISTS							
1503 PSYCHOMETRISTS							
1504 SUMMER SESSION SALARIES							
1505 COUNSELORS							
1506 COORDINATORS							
1600 PHYSICAL & MENTAL HEALTH SALARIES (Nurses, Psychiatrists, etc.)							
1604 SUMMER SESSION SALARIES							
1700 SUPERINTENDENTS' SALARIES							
1701 DEPUTY SUPERINTENDENTS SALARIES							
1703 ASSISTANT & ASSOCIATE SUPERINTENDENTS SALARIES							
1800 OTHER CERTIFICATED SALARIES OF DISTRICT & COUNTY ADMINISTRATIVE OFFICES (Salaries of Administrative Assistants & Directors of Administrative Activities: Administrator, Project Administrator, Director, Planning Associate)							
1900 OTHER CERTIFICATED SALARIES							
TOTAL CERTIFICATED SALARIES							

FUNDS ARE AVAILABLE TO BE ACTIVATED IF STATE

YEAR-END EVALUATION REPORT (Program)

Report of Evaluation Design

Strengths and limitations of the evaluation design	
Strengths	- activities related directly to program objectives and to County Office goals - inclusion of multiple measures to determine program effectiveness - use of group participation in the process of forms development - use of written questionnaires to gather specific data from clients - inclusion of informal participant responses to provide an element of reality. This tends to reflect some side effects or unanticipated outcomes.
Limitations	- use of informal, unsolicited feedback as a source of data - assumption of responsibility when lacking authority and/or involvement - reliance on descriptive-type statistics because of no comparison data - lack of standards of acceptability

SIMULATED DATA

EVALUATION REPORT
1975-1976

(Use one sheet for each Sub-Program Objective)

SUB-PROGRAM OBJECTIVE: 2.0 Direct Planning Assistance: To provide direct planning assistance to educational agencies including schools, districts, county offices, and State Department upon request. Materials developed, procedures utilized, and outcomes attained will be judged successful by personnel receiving the service on the basis of plans or projects adopted, funded and/or implemented.

Program Description (Activities)	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.1 Assistance to other programs of the County Office (excluding inservice training): Provide direct planning assistance to other programs in conducting studies, planning workshops, evaluating, and developing internal plans of various kinds.	2.1 ___ Staff --(memo from ___ Administrator, ___ Division, Sept. 21, 1975, to his staff, copy to P/E Division.) "During the past few months, ___ program staff, with assistance from P/E Division, have held three day-long meetings to reexamine roles, functions, and staff relationships. We are planning a follow-up. . . . . ." ___ Education Division, Nov. 7, 1975 -- Meeting to develop objectives. A list of nine objectives were prepared for the program and are on file in the Planning and Evaluation Office. Oct. 21, 1975 -- Meeting to determine program structure in Curricular Services. Program structure outlined in meeting minutes and included in program budget for next year.	2.1 As indicated by the participants' statements and the products produced, the service was provided and was deemed successful. The activity related specifically to the Sub-Program Objective 2.0 and led directly to the attainment of that objective. It should be noted that assistance was provided "upon request." Thus, the requests determined the extent and frequency of the assistance. Recommendation: To help determine the effectiveness of a planning session or series of planning sessions, a follow-up on an adopted plan or policy should be established as a formal procedure.
2.2 Develop Forms: Develop program planning, budgeting, and evaluation forms for use in planning the County Office annual program budget.	2.2 Program planning and evaluation forms were developed and presented to staff at the annual retreat, Sept. 12 and 13, 1975. Revised forms were adopted by the Cabinet in October, 1975. The forms are currently in use. This evaluation report and the revised 1976-1977 Planning and Evaluation Program are presented on the "new" evaluation forms.	2.2 Evaluation Statement: The activity was completed as planned. The adoption and the present use of the forms indicated a high degree of success Recommendation: The group process procedures used in the development of the forms should be used for future similar activities.

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SIMULATED DATA

EVALUATION REPORT
1975-1976

SUB-PROGRAM OBJECTIVE: (continued)

Program Description	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.3 Development of school and/or district need assessment, goals, priorities, interpersonal communication techniques, program and personnel evaluation designs and objectives, etc.: Work with Boards, Superintendent, staff and/or community groups in the development of plans to implement these and other planning and management concepts and skills. Specifically tailored for the local situation.	2.3 Goals/Objectives School Board, Nov. 15 and 16, 1975, and April 5, 1976 -- Retreat at Holiday Inn - discussed Board and district objectives. Objectives are to serve as basis for Superintendent/Board discussion of priorities in July, 1976. School Board, October 26, 1975 -- Retreat at Board president's home - discussed Board and district objectives. No subsequent Board action taken. School Board, Dec. 18, 1975, and June 2, 1976 -- Retreat at Vallombrosa - discussed Board and district objectives. Developed goal statement for a district philosophy. Adopted on June 28, 1976. Needs Assessments School District -- (letter from Assistant Superintendent, Nov. 5, 1975) 'The needs assessment you conducted with the faculty of Intermediate School on Tuesday evening, Oct. 31, has been a significant event for this group. Teachers have talked to me - as has the principal - about the enthusiasm for the future your session has developed. The faculty is enthusiastically involved, the principal is ecstatic. The Board accepted the report three to two - adopted new schedule, new program." Unified School District --(comments from Superintendent, May 13, 1976) "The Advisory Committee rejected results of the needs assessment. Some material was used in writing Early Childhood Education application. Questionnaire return of 10-15% was of no value.	2.3 Considerable assistance was provided to a wide audience. All requests for service were honored. The variety of activities, however, produced mixed degrees of success. Goals/Objectives - School Boards: The adoption by two boards indicated success; no action by one board indicated a lack of success. Needs Assessments: One was highly successful; one was minimally effective. Countywide Workshops/District Management Workshops: The great preponderance of positive reactions by the participants indicated an extremely successful series of presentations. High School District Workshops: The reactions to the workshops were mixed, but, for the most part, favorable. One presentation could be viewed as negative - Stull Act Implementation, August 28, 1975, at El Portal. All others are viewed as ranging from moderately successful to highly successful. Decided differences in the participants' ratings of facilities were noted - received low ratings, while received the highest ratings possible.

SIMULATED DATA

EVALUATION REPORT
1975-1976

[illegible]-PROGRAM OBJECTIVE (continued)

Program Description	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.3 (continued)	Series of Countywide Workshops: County Needs Assessment Workshop, Jan. 17, 1976 -- Thirty-one positive remarks were recorded. "productive," "realistic," "suitable," "informative," and "excellent" are examples. Three negative remarks were recorded: "too much presented in limited time," "rather complex" and "too scientific." County Time Management Workshop, Jan. 31, 1976 -- Two hundred twenty-eight positive ratings were received, three neutral and none negative. The numbers are the total tally for the "quality" and "value" questionnaire categories combined. County Managerial Styles Workshop, March 14, 1976 -- Ninety-four positive ratings were received, four neutral and none negative. The numbers are the total tally for the "quality" and "value" questionnaire categories combined. District Management Workshops School District -- (letter Principal, March 24, 1976) "Just a short note to thank you for making yourself available to our staff on Thursday, March 13, 1976. The presentation on Time Management was of great interest to us and helps us realize in what areas we need improvement." On evaluation forms, the participants (N=12) showed positive feelings for quality of the presentation and value of the session. Positive Ratings: Quality--40/48 or 83%; Value--34/36 or 94%.	Generally, the processes can be viewed as having been completed with a high degree of success; the products with a lesser degree of success. Recommendations: The program manager should include in the evaluation process only those activities over which he has direct control and supervision. Some type of a quality-control system for training-seminars should be instituted. The differences in facilities available for training-seminars should be given due consideration during the seminar planning stages.

SIMULATED DATA

EVALUATION REPORT
1975-1976

SUB-PROGRAM OBJECTIVE: (continued)

Program Description	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.3 (continued)	School District -- Administrative (letter from Assistant, May 15, 1976) "Your presentation yesterday was outstanding.... Needless to say, we are all delighted that your program was so well-received and so helpful to all of the Administrative Interns who were present..." On evaluation forms the participants rated the session as extremely positive: Rating: Excellent 78/84, or 93%. "Best of the Year!" "The presentation was excellent"; "Speakers of this caliber should be invited back again and again"; "Super presentation." Series of Workshops for the School District: Stull Act Implementation, Classified Personnel Evaluation: August 28, 1975, Fiscal Analysis and Budget Process, Effective Meeting Management, Planning for Inservice Program: October 17, 1975, Personnel Procedures and Interpersonal Communications: November 22-23, 1975, Personnel Procedures and Interpersonal Communications: April 18, 1976,	

SIMULATED DATA

EVALUATION REPORT
1975-1976

SUB-PROGRAM OBJECTIVE: (continued)

Program Description	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.3 (continued)	The August 28 workshop received much negative response in the areas of processes used, group interaction and facilities. The other three workshops received, generally, positive responses from the participants.	
	POSITIVE RATINGS 8/28 10/17 11/22-23 4/18 Facilities 13% 59% 100% 100% Topics Covered 60% 76% 89% 89% Group Interaction 27% 65% 78% 95% Processes 27% 63% 76% 100%	
2.4 Monitor Evaluations: On request to critique evaluation designs and/or reports, and to monitor the evaluation process used by various educational agencies within the County.	2.4 Requests from five school districts were received and services supplied to all five: School District, Feb. 5, 1976 Early Childhood Education Evaluation Design at five schools School District, June 17, 1976 Review of Reading Program Evaluation Report School District, Sept. 14, 1975 --Critique of Criterion Referenced Test Development Plan School District, Aug. 23,1976 Monitoring of Desegregation Evaluation High School District, Oct. 1, 1976 Analysis of questionnaire results Letters of appreciation from school administrators in all five districts are on file in the Planning and Evaluation Office.	2.4 As evidenced by the communications from all districts serviced, the activity was completed with a high degree of success. Recommendation: The service should be continued.

SIMULATED DATA

EVALUATION REPORT
1975-1976

SUB-PROGRAM OBJECTIVE: (continued)

Program Description	Data Collected re: Context, Process, Product	Evaluation Statement and Conclusions
2.5 Assistance to other counties, agencies or State Department of Education: Provide planning and evaluation assistance to organizations or individuals, the results of which assistance will directly or indirectly facilitate the programs of the San Mateo County Office of Education. (County Superintendents Legislative Committee, ACSA Studies, etc.)	2.5 Services Division, San Mateo County -- (letter from Regional Training Coordinator, Aug. 29, 1975) "...we have progressed since our workshop with you. You really helped us to get started...." Attached to the letter was a summary of goals, activities, and evaluation plans developed by the group. for Secondary Schools, (letter from Executive Director) "Thanks in large part to the contribution you made by lending your expertise and sharing your vast knowledge of the Program. The 1975 series was well-received, well-attended and, we believe, a very successful one." University -- (letter from Sept. 6, 1975) "Thank you for taking time out on Monday, Aug. 26, to talk to and me. Our conversation was useful to us in getting a perspective on the course Dr. will be teaching in the spring." University, Department of Administration -- (letter from Administrative Intern, May 17, 1976) "I wish to thank you in behalf University's Department of Administration and its Administrative Interns for your lecture of May 14 on "Time Management." Your program was well-received and of great personal benefit to me." Committee on legislation -- On file are letters, memos, and a report (Legislation for 1976) which show participation as a committeeman.	2.5 Assistance was provided to all individuals or agencies who submitted requests; the feedback indicated that the service was performed satisfactorily. The data collected, in general, resulted from unsolicited, informal communications. Recommendation: Provision should be made for an organized data-collecting and recording system, which would include obtaining written comments from all participants.

B. *PERSONNEL EVALUATION; specifically manager evaluation*

Every manager should set forth objectives in the effectiveness areas of his/her position. These should be based upon the position description of the job and the standard of performance expected in accomplishing the job. An evaluation design should also be developed to determine the degree to which the management objectives have been achieved.

. *Developing management objectives should be a joint undertaking of the staff member and the manager. The completed standard should include:*

RESPONSIBILITIES →	RESULTS →	STANDARDS
Major generic statements in action terms usually available in position descriptions	so that something will result	Performance acceptable when X is met.
Example:		
By x date, the Manager will develop and install an MBO management system in an organization	so that the MBO system is in full operation	All programs have at least 5 objectives; all personnel evaluated; budget is a program budget format and reported that way: MBO system operational by September 1, 1977.

You will immediately recognize that a management objective is basically a performance objective with the elements of any measurable objective (who will do what, under what conditions, by when and how will you know it's been done?) *(See Appendix A.)*

MANAGERIAL FUNCTIONS OR RESPONSIBILITIES

Any study of courses offered by the American Management Association, review of books written on management, or discussions with managers in business, industry, or government will bring forth fundamentally the same definition of a manager:

A MANAGER IS ONE WHO OBTAINS RESULTS THROUGH OTHERS

Management, therefore, is the science and art of obtaining results through people.

The functions of management can be set forth in from 5-10 elements as follows:

"Science" of Management

1. Planning
   - objectives
   - methods/means
2. Organizing
   - application of human resources to plans
   - job definitions, etc.
3. Controlling
   - making certain that you're going where you plan to go

"Art" of Management

4. Climate
   - motivation
   - communication
   - environment
5. Leadership
   - style of leadership
6. Decision-managing
   - delegation of authority
   - modes of decision making
   - communication skills

From L. J. Aggerbeck, President, L. J. Aggerback & Associates

- Management Functions

1. Motivating
2. Communicating
3. Problem Finding
4. Problem Solving
5. Decision Making
6. Planning
7. Implementing
8. Controlling
9. Evaluating
10. Diffusing

(From Rensis Likert, Director, Institute for Social Research, University of Michigan)

- Management Functions

1. Planning - The act of predetermining future events, resource allocations, and objectives to be accomplished.
2. Organizing - The act of arranging functions, grouping activities, and structuring roles of people to support plans for action.
3. Staffing - The act of providing a sufficient supply of competent people to support the plans and organizational structure.
4. Directing - The act of deciding who must do what by when; communicating the decisions and motivating people to accomplish the expected results.
5. Controlling - The act of measuring, identifying, and correcting variance from plan to insure the accomplishment of objectives.

From John R. Van de Water Associates

A concept of managing for managers at any level

Managing — Planning, directing and controlling the activities of subordinates to achieve or exceed objectives

Planning — Determining what needs to be done, by whom and by when, to fulfill one's assigned responsibility

- Objective: A goal, target, or quota to be achieved by a certain time
- Program: Strategy to be followed and major actions to be taken to achieve or exceed objectives
- Schedule: A plan showing when individual or group activities or accomplishments will be started and/or completed
- Budget: Planned expenditures required to achieve or exceed objectives
- Forecast: A projection of what will happen by a certain time
- Organization: Design of the number and kinds of positions, along with corresponding duties and responsibilities, required to achieve or exceed objectives
- Policy: A general guide for decision making and individual actions
- Procedure: A detailed method for carrying out a policy
- Standard: A level of individual or group performance defined as adequate or acceptable

Directing — Implementing and carrying out approved plans through subordinates to achieve or exceed objectives

- Staffing: Seeing that a qualified person is selected for each position
- Training: Teaching individuals or groups how to fulfill their duties and responsibilities
- Supervising: Giving subordinates day-to-day instruction, guidance, and discipline as required for them to fulfill their duties and responsibilities
- Delegating: Assigning work, responsibility, and authority so subordinates can make maximum use of their abilities

Motivating: Encouraging subordinates to perform by fulfilling or appealing to their needs

Counseling: Holding private discussion with a subordinate about how he might do better work, solve a personal problem, or realize his ambitions

Coordinating: Seeing that activities are carried out in relation to their importance with a minimum of conflict

Controlling — Measuring progress toward objectives, evaluating what needs to be done, and then taking corrective action to achive or exceed objectives

Measuring: Determining through formal and informal reports the degree to which progress toward objectives is being made

Evaluating: Determining causes of and possible ways to act upon significant deviations from planned performance

Correcting: Taking control action to correct an unfavorable trend or to take advantage of an unusually favorable trend

Integrative Elements

Deciding: Making a judgment about a course of action to be taken

Communicating: Exchanging information with subordinates, associates, superiors, and others about plans, progress, and problems

Improving: Developing more effective and/or economical methods of managing

> The clearer the idea of what one wants to accomplish, the greater the chances of accomplishing it.
>
> Rodney H. Brady

Loen, Raymond O., MANAGE MORE BY DOING LESS, McGraw Hill, 1971.

Management Effectiveness Areas

- Educational and Management System

  Philosophy, Goals, Objectives and Policies

  Educational Needs Assessment
  Organization and Management Needs Assessment
  Community and District Profile

- Accountability and Research Information (Evaluation)

  Performance Criteria
  Evaluation Design
  Feedback System

- Staff Competence and Development

  Individual Career Plans
  Individual Performance Improvement Plans
  Organization Staff Development System

- Management Teams (Team Building)

  Vertical Teams
  Lateral Teams

- Community Support and Coalition Building

  Financial Resources
  Program Support and Assistance

- Organization Delivery System

  Unit and Individual Effectiveness Areas
  Curriculum and Teaching Technology
  Facilities, Budget, Personnel, and Transportation
  Operational Procedures, Rules and Patterns

Adapted from PEDR Urban Associates, Los Angeles, CA.

GUIDE FOR IDENTIFYING AND TESTING EFFECTIVENESS AREAS *

Here is a simple list of questions for a manager to ask himself or herself. He/she should then be able to develop an initial list of effectiveness areas to test on his/her superior and his/her coworkers. There is much overlap in the list. All that the questions really ask is "What is the job?" But they ask it in different ways. Some managers find that ideas are triggered when the question is asked in one way and some when it is given another way:

What is the position's unique contribution?

Why is the position needed at all?

What would change if the position were eliminated?

What will change if I am highly effective in the position?

How would I know, with no one telling me, when I am performing effectively?

Where does asking, "Why do I do this?" lead?

What authority does the position really have?

What can the position most easily improve?

What do the job description and the organizational manual say?

How do I spend my time? How would I like to spend it?

What would I be most likely to concentrate on over two or three years if I wanted to make the greatest improvement in my unit? In my superior's unit? In the organization as a whole?

How many effectiveness areas?

The number of effectiveness areas a manager has depends more on how he or she see his or her job than on what the job is. It is quite possible for two managers in identical positions to have a different number of areas. A few managers report that they work effectively with up to fifteen effectiveness areas, while others work effectively with only one, though usually with many associated objectives. While the number of effectiveness areas must always depend on the manager, a range of from four to seven or eight areas is normal.

Rules for wording effectiveness areas

There are three simple rules to follow when working effectiveness areas. They are:

Use from one to four words.

Avoid directional indicators, such as "increase", maximize" and "satisfy".

Avoid any quantities or timings.

These three rules help to ensure that effectiveness areas are not confused with objectives, and that organizational design rather than corporate planning is the focus.

Guides for testing effectiveness areas

Once effectiveness areas are identified, they should satisfy ten tests. These check on the adequacy of the effectiveness areas individually, collectively, and with respect to the associated positions. Each effectiveness area should

Represent output, not input

Lead to associated objectives which are measurable

Be an important part of the position

Be within the actual limits of authority and responsibility

Effectiveness areas as a whole should

Represent 100 percent of the outputs of the position

Not be so many as to avoid dealing with the essence of the job or so few as to make planning difficult

Effectiveness areas, with respect to the associated positions, should

Avoid overlaps

Avoid underlaps

Align vertically

Align horizontally

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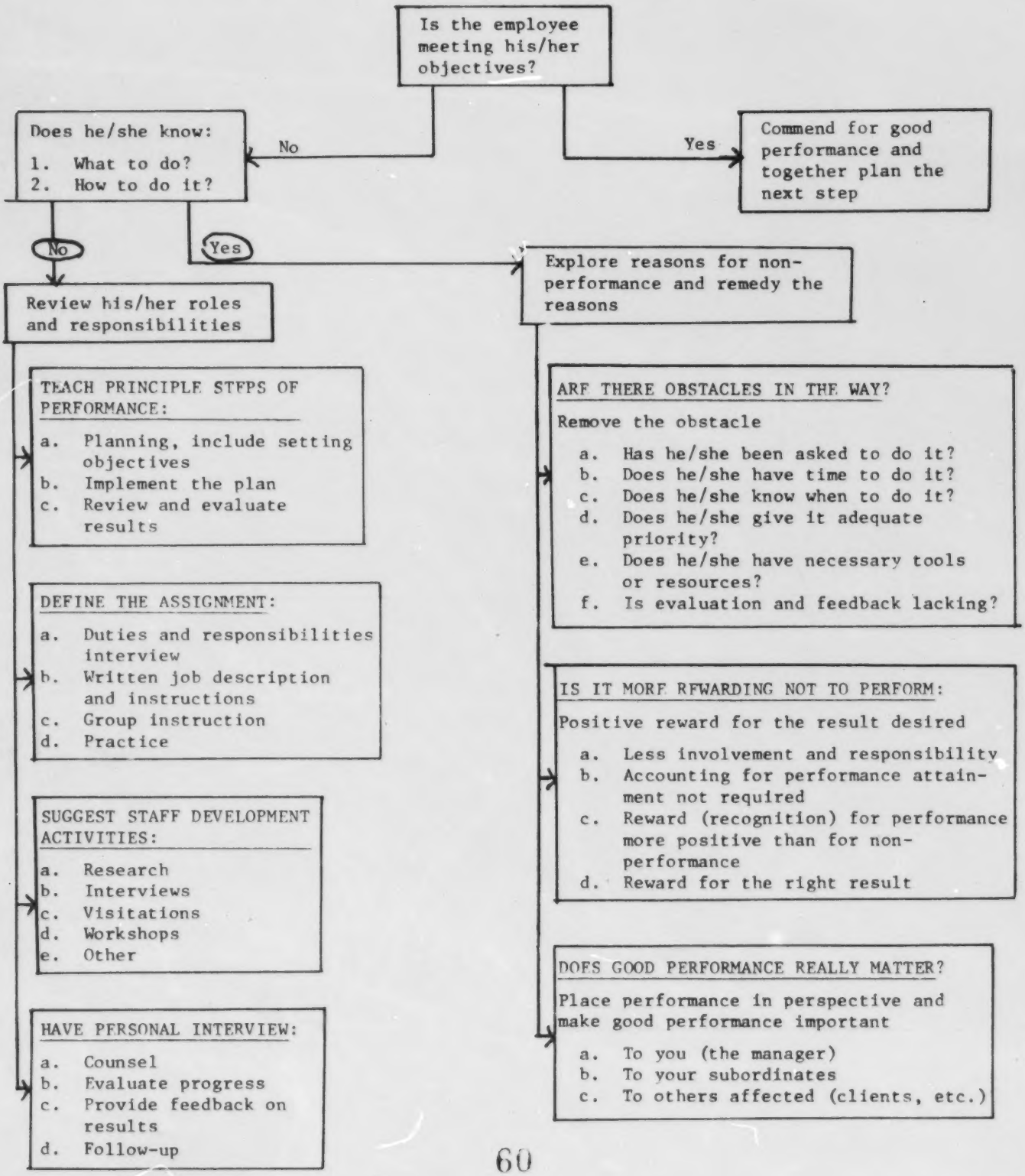
* Reddin, W. J., EFFECTIVE MANAGEMENT BY OBJECTIVES, New York: McGraw-Hill, 1971, pp. 47-49, as adapted by the Center for Educational Leadership, Los Angeles, CA with some additional adaptations by the author.

EVALUATION OF PERSONNEL PERFORMANCE


Is the employee meeting his/her objectives?
No
Yes
Commend for good performance and together plan the next step
Does he/she know:
1. What to do?
2. How to do it?
No
Yes
Review his/her roles and responsibilities
Explore reasons for non-performance and remedy the reasons
TEACH PRINCIPLE STEPS OF PERFORMANCE:
a. Planning, include setting objectives
b. Implement the plan
c. Review and evaluate results
ARE THERE OBSTACLES IN THE WAY?
Remove the obstacle
a. Has he/she been asked to do it?
b. Does he/she have time to do it?
c. Does he/she know when to do it?
d. Does he/she give it adequate priority?
e. Does he/she have necessary tools or resources?
f. Is evaluation and feedback lacking?
DEFINE THE ASSIGNMENT:
a. Duties and responsibilities interview
b. Written job description and instructions
c. Group instruction
d. Practice
IS IT MORE REWARDING NOT TO PERFORM:
Positive reward for the result desired
a. Less involvement and responsibility
b. Accounting for performance attainment not required
c. Reward (recognition) for performance more positive than for non-performance
d. Reward for the right result
SUGGEST STAFF DEVELOPMENT ACTIVITIES:
a. Research
b. Interviews
c. Visitations
d. Workshops
e. Other
DOES GOOD PERFORMANCE REALLY MATTER?
Place performance in perspective and make good performance important
a. To you (the manager)
b. To your subordinates
c. To others affected (clients, etc.)
HAVE PERSONAL INTERVIEW:
a. Counsel
b. Evaluate progress
c. Provide feedback on results
d. Follow-up

CERTIFICATED EVALUATION

Name Don E. Halverson Assignment Assistant Superintendent, ESP Division

Supervisor Dr. J. Russell Kent

OBJECTIVES/ACTIVITIES (1)	EVALUATION CRITERIA (2)	DATA COLLECTED (3)	EVALUATION STATEMENTS AND CONCLUSIONS (4)
1.0 Development of programs in ESP Division based on program objectives and activities with evaluation designs included as part of the program design. (goals and objectives)			
1.1 To work directly with Program Managers in reviewing program objectives and sub-program objectives for the ESP Division with correlated activities and evaluation designs (Monthly MBO meetings with each Program Mgr.) so that the ESP Division will be able to indicate level of attainment of objectives on an annual basis.	1.1 Preliminary objectives, activities, evaluation design and proposed budget completed by March 1 each year. 1.2 Program Manager input as great as desired by them. 1.3 Budgetary aspects completed to satisfaction of Jim Hooley. 1.4 Objectives congruent with County Office philosophy and goals as determined by me.		

OBJECTIVES/ACTIVITIES	EVALUATION CRITERIA	DATA COLLECTED	EVALUATION STATEMENTS AND CONCLUSIONS
2.0 Assignment of activities based on staff strengths and enlargement of capabilities of individual staff members especially Program Managers. (staff development)			
2.1 To review each staff assignment on an annual basis plus whenever a vacancy occurs (certificated and classified) to make certain Division is capitalizing on staff strengths.	2.1 Meeting of Division Head and Program Manager held annually at which time each staff assignment is reviewed. (Final Stull Act Interviews)		
2.2 To individually review each Program Manager's plans and aspirations pertaining to his/her employment and map out possible experiences which might assist him/her in attaining those aspirations.	2.2 Each Program Manager has a plan (written or not) with ideas on how to achieve it including ways I can be of help.		

OBJECTIVES/ACTIVITIES	EVALUATION CRITERIA	DATA COLLECTED	EVALUATION STATEMENTS AND CONCLUSIONS
2.3 To allocate funds and authorize experiences for staff members so that each staff member can move closer to fulfillment of his/her aspirations.	2.3 Staff members participate in selected activities of own free will and desire. Program Managers will indicate level of participation.		
2.4 To review management objectives of Program Managers to make certain that they provide staff development opportunities for the staff members in their programs.	2.4 Each Program Manager has reviewed Stull Act with each staff member in his/her program including personal and professional growth areas.		
3.0 Development of an atmosphere of effectiveness, Division pride, and cooperation. (team building)			
3.1 To provide an atmosphere in the Division which promotes problem solving, job satisfaction and cooperation through: -holding semi-monthly Program Manager mtgs.	3.1 Staff feels crisis situations have been reduced this year. 3.2 Staff members are willing to ask for help. 3.3 Staff members who asked for help were assisted to their satisfaction.		

OBJECTIVES/ACTIVITIES	EVALUATION CRITERIA	DATA COLLECTED	EVALUATION STATEMENTS AND CONCLUSIONS
-soliciting Program Manager input to agendas -focusing on problem areas not people -planning ahead with Program Managers as much as possible	3.4 Program Managers can indicate major activities of each Program in the Division (theirs and others). 3.5 Program Managers can give examples of major achievements this year in other programs.		
4.0 To develop support for the County Office and the ESP Division within the office. (coalition building) 4.1 To work cooperatively with the other Division Heads in obtaining support for County Office programs and the ESP Division so that adequate resources and support are forthcoming to carry forward County Office and ESP Division Programs.			

OBJECTIVES/ACTIVITIES	EVALUATION CRITERIA	DATA COLLECTED	EVALUATION STATEMENTS AND CONCLUSIONS
Specifically: -Attend County Board meetings and participate as appropriate	-Attend at least 80% of regular Board meetings		
-Attend and give responsible leadership to CII	-Help set CII agendas and attend 90% of all meetings -Obtain informal feedback from Co-Chairman as to my effectiveness		
-Attend monthly meetings and develop relationships with District Superintendents in the County	-Attend at least 50% of District Superintendent meetings		
-Participate with other Division Heads in total County Office projects	-Participate in <u>every</u> total County Office endeavor		
5.0 To allocate ESP Division resources (human and material) effectively and efficiently to the various programs. (delivery systems)			

OBJECTIVES/ACTIVITIES	EVALUATION CRITERIA	DATA COLLECTED	EVALUATION STATEMENTS AND CONCLUSIONS
5.1 To improve the working arrangements of the programs within the Division, especially as regards to space allocation.	5.1 The allowable working space is increased by at least 10% for 1977-78.		
6.0 Development and operation of an ongoing evaluation design for the programs of the ESP Division. (evaluation) 6.1 To review evaluation designs for the various programs in the ESP Division on an ongoing basis so that each program responds appropriately to the needs of its clients and to the changes in these needs as well as to the major objectives of the Division and the Office as a whole.	6.1 Each Program has: - an ongoing evaluation design - an effective data collection procedure operating on an ongoing basis as well as at the end of the year - each Program Manager has made appropriate changes in program objectives and activities as a result of the annual evaluation.		

Suggestions: (Process/Program)

PLAN ADOPTED BY:

Certificated Employee: _____

Supervisor: _____

Plan Adoption Date: _____

FINAL REVIEW BY:

Certificated Employee: _____

Supervisor: _____

Final Review Date: _____

Program Interviews:

(1)	By 9/15	Final evaluation of prior year. Review current program objectives, activities, etc.
(2)	By 12/15	Briefly review current program activities and interim evaluation. Set objectives and preliminary budget for succeeding year.
(3)	By 3/15	Briefly review current program activities and interim evaluation. Revise objectives, activities and budget for succeeding year.
(4)	By 6/15	Preliminary evaluation of present year. Final objectives, activities and budget for succeeding year.

All Program Interviews are approximately one and one-half hours long.

August	Interim review of prior year program evaluations. Review current program objectives, activities, evaluation, etc.
September	Same as August
October	Same as August
November	Review summative (final) evaluation especially in relation to current year objectives. Suggestions on modification of current year objectives.
December	Review current objectives and possible modification. Discuss financial analysis for following year planning.
January	Discuss following year's objective setting in relation to financial analysis.
February	Review program objectives, activities, cost elements, and evaluation in planning for following year.
March	Same as February plus briefly review current objectives, etc.
April	Briefly review current objectives, activities and interim evaluation of current year
May	Same as April
June	Preliminary evaluation of present year. Final objectives, etc. for following year.

Personnel Interviews:

(1)	Fall Stull Interview	Between October 15 and November 1
(2)	Mid-Year Interview	Between February 1 and February 14
(3)	Final Interview	Between April 15 and May 1

All Personnel Interviews are approximately one and one-half hours long.

TWELVE COMMON ERRORS IN SETTING OBJECTIVES

1. *Organizational goals not clear.*
2. *Objectives set too low or too high.*
3. *More than one person with same objective.*
4. *Objectives received with no feedback.*
5. *Objective not able to be evaluated.*
6. *Objective has no time limit on completion.*
7. *Reasons not determined for non-achievement of objective.*
8. *Stress is on method rather than outcome.*
9. *Failure to take into account on-going changes.*
10. *Reluctant to add supervisor needs for objective setting.*
11. *Emphasizes pleasing supervisor; not achieving objective.*
12. *Failure to reward or acknowledge good results.*

There need to be objectives for every job, set by the man who is to attain the objectives, together with his manager. The work itself has to be made productive so that the worker can work at making himself achieving. And the worker needs the demand, the discipline, and the incentive of responsibility.

Drucker, MANAGER: TASKS, RESPONSIBILITIES, PRACTICES, p. 308.

Suggested principles in effective objective setting

1. Setting of objectives must be cooperative
2. Once set, objectives must be in writing and clearly understood
3. Objectives must include achievement dates and have a defined level of resources
4. Plans to achieve objectives must also be in writing and include interim milestones and periodic reviews
5. As milestones are achieved, those who achieve them should be appropriately recognized
6. Courses of action should be determined for non-achievement of objectives
7. A course of action should take place at time of objective evaluation whether objective achieved or not. Time slippage should be kept to a minimum

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From Dr. Rodney Brady, Executive Vice President, Bergen Brunswig Company, formerly Assistant Secretary, H.E.W.

Work must be psychologically acceptable to the individual; that is, its performance cannot generally threaten the individual.

The worker must have the possibility of controlling in a meaningful way, the environment within which the task is to be performed.

PITFALLS IN INSTALLING AND OPERATING AN MBO APPROACH

The following pages outline some major pitfalls, symptoms, descriptions and suggested treatments. These were developed by Dr. Glenn H. Varney, President of Management Advisory Associates, Inc. and published by the Dartnell Corporation (see reference section).

1. At first, MBO will require a great deal more time than a manager usually expects to spend on it. In the initial stages of the program, there will be an actual "duplication" of the new system while the old one is still in operation. Furthermore, there is likely to be a dip in productivity while the learning process is taking place. This sometimes runs as long as five or six months, even a year. It takes a great deal of concentration, perseverance and deliberate effort to make the system work.

2. A manager must work at it. He must be constantly learning, constantly expanding and experimenting and, above all else, he must be willing to adjust and change the system to make it flexible, useful, viable and meaningful to those who are being asked to function with an MBO approach.

3. Managers need to recognize that, as a general rule, they are being asked to change the way in which they manage. This means changing the style in which they function with their people -- moving away from a bureaucratic, or "I will tell you" style of management to a democratic style, where the individual manages himself, and the manager becomes a resource and helper to the subordinate in accomplishing his objectives.

4. Management by objectives is probably not for every manager. Some managers find it very difficult to move away from the bureaucratic, or autocratic, style of management. If, in fact, you are one of those managers, it is recommended that you do not try to use MBO. It will not, as a general rule, work for you. If you are going to set the goals for an individual, you can usually count on his not being highly enough motivated to achieve them.

Pitfall	Symptoms	Description	Treatment
(1) Busy! Busy!	(A) Never get around to taking time to get started. (B) Feel rushed in interviews with employees. (C) Feel like you have more important things to do.	It is a common occurrence for a manager to feel that other things are more important. But ask yourself what is more important than getting the best performance from your personnel.	(a) Better scheduling of your time — set up blocks of time to work on the program. (b) Assign someone else to handle the problems while you are working on the program.
(2) You change — I won't.	(A) Telling employees to change. (Telling implies you are using old system.) (B) No (or little) cooperation from employees.	You can talk a good story about the system as it involves the individual, but you must also practice it.	(a) Don't tell – ask. (b) Listen and allow the employee to respond. (c) Let the employee carry most of the burden of the interview.
(3) Perfectionist	(A) Endless hours of discussions, rehashing and reworking. (B) Hung up on small parts of job and expected results.	Performance planning and review is not a foolproof system. It is at best an improvement over old-type systems. Going into infinite detail will strangle the program.	(a) Accept fairly broad generalities. (b) Don't expect a perfect system the first time around. (c) Don't let yourself be dragged into detail pits — stay on top.

Pitfall	Symptoms	Description	Treatment
(4) *Once* and for *always*	(A) Never give in on any points. (B) Once individual plan is set up, never change it. (C) Hold each person to the letter of the plan.	Performance plans must be flexible. Conditions change and so should the plan. No change can mean no improvement.	(a) Agree to reasonable changes. (b) Encourage employees to suggest changes in the plan. (c) Think about conditions that might change the plan.
(5) Copy Cat	(A) Always looking at other plans to copy so you won't have to think it through yourself. (B) Trying to make as many plans fit a group pattern so they are all alike.	Performance plans will have many similar elements, but the basic expected results will almost always be different.	(a) Regard each plan as separate and distinct. (b) Avoid referring to other plans except as a general guide. (c) Let the employee develop his own plan — this will assure its originality.
(6) That's the system I've always used.	(A) Nothing new to you — you already know how it works. (B) No one can tell you about the program.	Many managers feel they already know how the system works. In fact, they don't! Some elements are a part of most managers' jobs — most are new.	(a) Listen, learn, then decide. (b) Search for parts and ideas which may be new to you.

Pitfall	Symptoms	Description	Treatment
(7) Definitions Hang-up	(A) Employees keep asking for definitions and explanations of what you mean when you use certain words, e.g., expected results. (B) Doubts about definitions begin to creep into your thinking. You try your hand at redefining the titles.	Getting language which everyone agrees to and understands is almost impossible. Attempting to define points to satisfy all people will create distrust of the system.	(a) Explain concepts; don't try to define expressions — use examples instead. (b) Let employee define it any way he prefers as long as you get the end result. An expected result by any title is an expected result.
(8) Too Hard to Understand	(A) Employees can't get it through their heads what you're trying to do. (B) You get hung up on specific parts of the program.	Reluctance and resistance are often manifested by playing dumb. People who don't want to learn can find reasons not to learn. Change is the order of the day.	(a) Recognize when employees are resisting change. (b) Confront those who do not want to change. Tell them you understand how they feel. Go through each of the stages in asking them to change over to the new system.

INSTALLING A SYSTEM OF MANAGEMENT BY OBJECTIVES

Following are some problems associated with the implementation of MBO and some solutions to these conditions:

PROBLEMS	SOLUTION
1. Poorly written performance objectives or objectives written describing activities instead of results.	Establish a training workshop for writing correctly written performance objectives. Develop a procedural guide for writing performance objectives and distribute to the staff. Provide opportunities for managers to progress at their own rate of speed.
2. Setting of low-risk-bearing objectives.	Initially, some managers will develop low-risk-bearing objectives. This is to be expected. The supervisor should be on the alert for these persons. An attempt should be made by the supervisor to persuade them to develop more challenging objectives.
3. Failure to achieve objectives as planned.	There will be instances when a manager will fail to achieve the projected results. These experiences can be useful for guiding the manager for the next objective-setting conference. Obviously, the new objectives should be more in line with reality and attainability.
4. Falsifying statements about the achievement of objectives.	All on- and above-plan performance should be substantiated by either personal observation or documentation. An explanation must follow all below-plan performance.

Adapted from Lewis, James, SCHOOL MANAGEMENT BY OBJECTIVES, Parker Publishing Company, West Nyack, New York, 1974.

Work must allow the individual considerable room for self-determination.

PROBLEMS	SOLUTION
5. Difficulties in deciding how to initiate an MBO Program.	There are several ways to initiate an MBO Program: a. Long-range plan b. PPBS approach c. Emanating from the central office down to individual managers d. Performance appraisal approach e. Key results analysis approach The program can be implemented using one of the above approaches or combinations of same.
6. Managers complaining that they do not have sufficient time to work on the MBO system.	MBO is a systematic way of operating an organization. It is a method for planning and controlling activities so that meaningful effort is exerted in the direction of achieving the philosophy, objectives and goals of the organization. It is the daily responsibility of each manager within the system to plan, set and achieve objectives for the improvement of the organization.
7. Substantial amount of paper work and time.	If the communication gap is going to be improved through the MBO program, obviously this is going to entail more of the time of the managers in terms of verbal and written communication. The written communication should consist of a job description, an improvement guide and improvement plans. There is a close association between the amount of communication employed in the program and the success of the program.
8. Lack of commitment to a MBO program on part of individual managers.	A lack of commitment to the MBO program can be attributed to two main reasons: (1) The organization head has not demonstrated a commitment to the program and (2) the staff have not been properly trained to implement the MBO program. By hiring a MBO advisor to oversee the program, many associated problems will quickly be resolved.
9. Some managers are reluctant to participate in the MBO program for a number of reasons.	The following activities can be used to stimulate interest in the MBO program: (1) Hire a MBO advisor. (2) Circulate MBO literature and films. (3) Provide opportunities for managers to visit organizations which have implemented a MBO program. (4) Use "seed" managers to set examples. Have them discuss particulars about the program with others.

PROBLEMS	SOLUTION
	(5) Establish a real climate for the participatory decision-making policy so that all appropriate personnel are involved in the decision-making process. (6) Enhance knowledge and understanding of MBO programs through outside consultants analysts, MBO policies, procedures and tasks.
10. Manager is not able to qualify objectives.	Ask manager to describe the results expected in observable terms. Use more than one party to judge the results--e.g., team of experts.

Responsibility is a harsh taskmaster. To demand it of others without demanding it of oneself is futile and irresponsible. The worker cannot assume the burden of responsibility for his own job, work group, and work-community affairs unless he can be confident of the seriousness, responsibility, and competence of his company. He must be able to have confidence that the boss knows his own job and work. He must take it for granted that the boss provides the tools the worker himself needs to be able to do productive work and the information the worker needs to direct and control himself.

Nothing quenches motivation as quickly as a slovenly boss. People expect and demand that managers enable them to do a good job and work productively and intelligently. People have indeed a right to expect a serious and competent superior.

Drucker, MANAGER: TASKS, RESPONSIBILITIES, PRACTICES, pp. 302 and 303

SUMMARY

- Management by Objectives (MBO) is a process or approach toward managing an enterprise.
- MBO had its beginnings in industry and government and has developed as a process to assure accountability in both program and personnel areas.
- MBO is a systematic process for determining the degree of success of an enterprise by setting forth specific objectives throughout the organization, the degree of attainment of these objectives at every level, and the utilization of this information in allocating the resources of the enterprise and the energies of its staff; all of which is done through the active participation and involvement of its personnel.
- Advantages of MBO include:
  - results oriented
  - creates unity and teamwork
  - focuses staff energies on common goals
  - enhances communication
  - provides clear-cut plan of action
  - provides for participatory management
- Major elements of MBO include:
  - setting total objectives for the organization
  - involving managers in specifying management objectives (standards of performance)
  - determining action plans or activities to achieve objectives
  - implementing action plans or activities to target dates
  - measuring results accomplished as contribution to total objectives
- MBO has been applied to and is productive in school organizations and government organizations.
- Performance objectives should include both *program* & *personnel* components.
- Initially MBO requires more time than a manager usually expects to spend on managing and entails moving away from the bureaucratic approach to a more participatory style.

APPLICATION - A

A. Designed to assist managers in developing program (organization) objectives.

1. List the major objectives of your department, school or office.

2. List the activities which are undertaken to reach those major objectives.

3. Group those activities which seem to share common objectives.

4. Using the practice form, write a program objective for at least one group of activities.

APPLICATION - B

B. Designed to assist managers in establishing management objectives (standards of performance).

1. Utilizing the information from Application A, list the objectives you personally plan to achieve. These will be activity objectives unless you are the "entire program".

2. Establish a standard of performance for each objective. This may be: By a certain time, to a specified percentage, in a specified ratio negative (e.g., drop-out rate reduced) or positive (attendance rate increased).

APPLICATION - C

C. Designed to assist managers in designing and installing an MBO system.

1. Review suggested steps in developing and installing an MBO system.

2. Identify constraints and enabling factors in your organization.

3. Identify personnel to be involved in developing and installing an MBO system.

4. Set forth the major milestones, activities and timelines in developing and installing an MBO system.

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COMPONENTS OF A PERFORMANCE OBJECTIVE

A well-written objective will communicate the same intended outcome to everyone who reads it. To assure that the same intended outcome will be communicated, a performance objective should include six components which will answer the question, WHO, DOES WHAT, WHEN, UNDER WHAT CONDITIONS, HOW MUCH and HOW WILL IT BE MEASURED?

- The WHO relates to the person to perform an activity.

  e.g. 1. All of the students
  2. Eighty per cent of the parents

- DOES WHAT is that which is to be known or done.

  e.g. 1. Will be able to correctly name in Spanish
  2. Will visit their child's classroom

- WHEN relates to a specific point in time when something will have been learned or done.

  e.g. 1. At the completion of the six-week instructional unit
  2. Each month

- UNDER WHAT CONDITIONS relates to the program or activity.

  e.g. 1. In the special bilingual-bicultural program
  2. Of Head Start children

- HOW MUCH relates to the minimum level to be achieved.

  e.g. 1. 20 of the 25 fruit and vegetables
  2. At least twice

- HOW WILL IT BE MEASURED relates to assessment techniques.

  e.g. 1. Each student will respond individually to the teacher who will note correct/incorrect responses.

  2. As evidenced by the visitor's sign-up sheet available in the classroom.

Now that we have developed the above examples, by rearranging examples #1 and #2, we are able to write them into two measurable objectives.

Objective #1: At the completion of the six-week instructional unit, all of the students in the special bilingual-bicultural program will be able to correctly name in Spanish 20 of the 25 fruit and vegetables. Each student will respond individually to the teacher who will note correct/incorrect responses.

Objective #2: Eighty per cent of the parents of Head Start children will visit their child's classroom at least twice each month as evidenced by the visitor's sign-up sheet available in the classroom.

Given the above examples, please review the following performance objective and write the answer to each question below:

> "At the completion of the sixth grade, eighty per cent of the students in the special reading program will be able to read with ninety per cent comprehension a selected passage as measured by a district-prepared test."

1. WHO will perform?

2. WHAT activity will be performed?

3. WHEN will it be performed?

4. UNDER WHAT CONDITIONS?

5. What will be the MINIMUM PERFORMANCE LEVEL?

6. HOW WILL IT BE MEASURED?

EXERCISE

Now that you can recognize the components of a performance objective, you should have no difficulty in writing one yourself.

The six components are listed below. Please write the contents for each component in the spaces provided. The completed objective should then be written in narrative form in the space provided at the bottom of the page. The components may be written in any order. Also, the objective may be written in more than one sentence.

WHO:

DOES WHAT:

WHEN:

UNDER WHAT CONDITIONS:

HOW MUCH:

HOW WILL IT BE MEASURED:

PERFORMANCE OBJECTIVE:

THE EVALUATION PROCESS

- DETERMINE EVALUATION PURPOSE AND REQUIREMENTS
- DEVELOP GENERAL EVALUATION PLAN
- DETERMINE SPECIFIC EVALUATION DESIGN
- SELECT OR DEVELOP ASSESSMENT INSTRUMENTS

- COLLECT DATA
- ANALYZE DATA

- REPORT RESULTS
- APPLY EVALUATION FINDINGS

The four pages in this Appendix are from the SCHOOL COMMUNITY COUNCIL, THE SCHOOL BOARD AND PROGRAM EVALUATION, August 1, 1976
California Evaluation Improvement Project

PROGRAM EVALUATION

PROGRAM: _____

PURPOSE OF EVALUATION: _____

1. QUESTION(S) TO ASK	2. INFORMATION TO GATHER	3. ACCEPTABILITY OF INSTRUMENTS
WHAT QUESTION(S) DO YOU WANT TO HAVE ANSWERED AS A RESULT OF THIS EVALUATION? SEE PP. 30-36.	WHAT KINDS OF INFORMATION WILL YOU COLLECT THAT WILL ANSWER THE QUESTION(S) IN #1	WHAT TYPES OF INSTRUMENTS WILL PROVIDE INFORMATION ACCEPTABLE TO YOU? SEE PP. 52-88.
DO STUDENTS IN THE PROGRAM LIKE TO READ BETTER THAN THOSE WHO ARE NOT IN THE PROGRAM?	EXAMPLE: AMOUNT OF NON-REQUIRED READING DONE. WAS THE PROGRAM IMPLEMENTED ACCORDING TO PLAN? PARENT AND STUDENT ATTITUDES TOWARD THE PROGRAM.	OBSERVATION OF STUDENT ACTIVITY DURING "FREE TIME" IN CLASS DONE BY PARENTS. SCHOOL LIBRARY RECORDS OR BOOK CIRCULATION TO STUDENTS AND STAFF. SURVEY OF PARENTS AND STUDENTS CONDUCTED BY AN EXTERNAL PERSON.
	WORK SPACE	

PROGRAM: _____

4. POPULATION TO ASSESS	5. ASSESSMENT DATES PRE-INTERIM-POST	6. DATA INTERPRETATION AND REPORTING
FROM WHOM OR ABOUT WHOM WILL YOU SECURE YOUR INFORMATION? WILL YOU USE THE TOTAL GROUP OR WILL A SAMPLE OF THE GROUP SERVE YOUR NEED? SEE PP. 91-97.	WHEN WILL YOU COLLECT YOUR INFORMATION? BEFORE, DURING OR AFTER THE PROGRAM, OR ALL THREE? SEE PP. 91-92, 105-107.	DO YOU HAVE ANY OPINIONS ABOUT HOW THE INFORMATION SHOULD BE ANALYZED FOR REPORTING TO YOU? SEE PP. 105-122.
SINCE ONLY TWO CLASSES ARE IN THE PROGRAM-- AND TWO CLASSES IN THE CONTROL GROUP USE THE WHOLE GROUP.	EXAMPLE OBSERVATION DATA DURING FIRST AND LAST MONTH OF SCHOOL. LIBRARY DATA DURING FIRST AND LAST MONTH OF SCHOOL. SURVEY AT END OF SCHOOL YEAR.	REPORT AVERAGES AND DISTRIBUTIONS. USE A STATISTICAL TEST OF SIGNIFICANCE.
	WORK SPACE	

PROGRAM: _____

7. DATA PRESENTATION	8. INVESTMENT OF RESOURCES	9. EXPECTED USE OF EVALUATION INFORMATION
WHO WILL PROVIDE THE INFORMATION TO THE BOARD, OR TO THE SCHOOL COMMUNITY COUNCIL, OR OTHER GROUPS? WHAT SHOULD BE REPORTING FORMAT? SEE PP. 99-101.	HOW MUCH STAFF TIME AND DOLLARS ARE YOU WILLING TO INVEST TO OBTAIN THIS INFORMATION?	WHAT POSSIBLE USE CAN THERE BE FOR ALL THESE DATA? IF YOU CAN THINK OF NONE, YOU SHOULD NOT HAVE GOTTEN THIS FAR. GO BACK AND REFER TO YOUR PURPOSE FOR EVALUATION. IF THERE IS A USE, WHO WILL DEVELOP AND IMPLEMENT THE PLANS FOR USING THE DATA?
THE PROGRAM EVALUATOR IN COOPERATION WITH THE PROJECT DIRECTOR SHOULD PREPARE THE REPORT INCLUDING A SUMMARY OF NOT MORE THAN TWO PAGES WITH BACK-UP DATA ATTACHED.	EXAMPLE ONE MONTH OF EVALUATOR'S TIME. 320 HOURS SECRETARY'S TIME. 160 HOURS AIDE TIME AS AN OBSERVER.	TO HELP DECIDE IF THE INDIVIDUALIZED READING MATERIALS WE ARE BUYING SHOULD BE CONTINUED.
	WORK SPACE	

Budget Form A-1
PROGRAM PLANNING AND EVALUATION FORMS

For:
Evaluating 1976-77 Programs
Planning 1977-78 Programs

DESCRIPTION OF EACH PROGRAM

1. Title: _____
2. Program Manager: _____
3. Type of Program or Major Thrust: _____

4. Students (if any): Number of Students _____ Age Span _____
5. Other Clients (if any): Type(s) _____ Number _____
6. Staff: Number of Classified _____ Number of Certificated _____
7. Facilities: Names, addresses, telephones, or locations:

8. Source of Funding: _____

9. Other Pertinent Information (history, special problems, etc.):

Budget Form A-2

PROGRAM: _____

PROGRAM GOAL(S)

PROGRAM OBJECTIVES

Budget Form A-3
(USE ONE SHEET PER OBJECTIVE)

a. PROGRAM PLANNING FORM

PROGRAM: _____ PROGRAM MANAGER: _____

SCHOOL OR DIVISION: _____

PROGRAM OBJECTIVE:

MOST RELEVANT GOAL(S): (abbreviate)

ACTIVITIES	METHOD OF EVALUATION	CRITERIA FOR SUCCESS

Budget Form A-4

a. PROGRAM FORM (continued) PROGRAM: _____

ACTIVITIES	METHOD OF EVALUATION	CRITERIA FOR SUCCESS

Form C
(Optional)

MID-YEAR PROGRESS REPORT

FORMATIVE EVALUATION: PROGRAM ACTIVITIES MONITORING

PROGRAM: _____

SCHOOL: _____

DATE: _____

PERSON REPORTING: _____

SUB-PROGRAM OBJECTIVE AND/OR ACTIVITY	CURRENT STATUS	TYPE OF HELP NEEDED

Budget Form C-1

YEAR-END EVALUATION REPORT
(Summative)

Evaluation Design and Procedure: Briefly summarize types of instruments used, data collection procedures, and strengths and limitations of design and data.
Use of Evaluation Results: What do you propose to do with the information gained in the evaluation and recommendations made? (Complete the year-end evaluation reports on the next page before filling out this section.)

PROGRAM: PLANNING & EVALUATION DIVISION: EDUCATIONAL SUPPORT & PLANNING

DESCRIPTION OF REQUESTED PERSONNEL, SUPPLIES, EQUIPMENT, FACILITIES --	FAVORAT [illegible]		19 78 - 19 BUDGET BY ACTIVITY				
	19 78 - 19 APPROVED DIRECT	19 78 - 19 TENTATIVE DIRECT	DEVELOPMENT OF DESIGNS & STRATEGIES	DIRECT PLANNING ASSISTANCE	INSERVICE TRAINING	INSERVICE TRAINING EVALUATION	PROGRAM OPERATION
			2.0	2.0	2.0	[illegible]	5.0
(1000) CERTIFICATED SALARIES:							
1100 TEACHERS' SALARIES CLASSROOM							
1101 SUBSTITUTE TEACHERS "							
1102 HOURLY (NON CONTRACT) TEACHERS "							
1104 SUMMER SESSION SALARIES "							
1107 REMEDIAL SPEECH TEACHERS "							
1109 HEAD TEACHERS "							
1200 SCHOOL ADMINISTRATORS' SALARIES (Principals, Vice Principals)							
1204 SUMMER SESSION SALARIES							
(1300) SUPERVISORS' SALARIES (Supervision of Instruction)							
1301 COORDINATORS " " "							
1302 DIRECTORS " " "							
1303 CONSULTANTS " " "							
1400 LIBRARIANS' SALARIES (For Salaries of all certificated personnel performing services of librarian)							
(1500) GUIDANCE, WELFARE & ATTENDANCE SALARIES (For salaries of all certificated personnel doing pupil personnel work)							
1501 SOCIAL WORKERS							
1502 PSYCHOLOGISTS							
1503 PSYCHOMETRISTS							
1504 SUMMER SESSION SALARIES							
1505 COUNSELORS							
1506 COORDINATORS							
1600 PHYSICAL & MENTAL HEALTH SALARIES (Nurses, Psychiatrists, etc.)							
1604 SUMMER SESSION SALARIES							
1700 SUPERINTENDENTS' SALARIES							
1701 DEPUTY SUPERINTENDENTS SALARIES							
1702 ASSISTANT & ASSOCIATE SUPERINTENDENTS SALARIES							
1800 OTHER CERTIFICATED SALARIES OF DISTRICT & COUNTY ADMINISTRATIVE STAFF (Salaries of [illegible] Administrative Assistants & Directors of Administrative Activities, Administrator, Project Administrator, Director, Planning Associate)							
1900 OTHER CERTIFICATED SALARIES							
TOTAL CERTIFICATED SALARIES							

FUNDS ARE AVAILABLE TO BE ACTIVATED IF STATE

Budget Form C-2

YEAR-END
EVALUATION REPORT

(Use one sheet for each Program or Sub-Program Objective)

SUB-PROGRAM OBJECTIVE:		
Program Description (Activities)	Data Collected re: Context, Process Product	Evaluation Statement and Conclusions Recommendations:

POSITION: _____

Developed by: Dr. Don E. Halverson
Assistant Supt., Educational Support & Planning
San Mateo County Office of Education
Redwood City, CA 94063 (Revised 1977)

(1) RESPONSIBILITIES (Major statements in action terms; use verbs)	CONNECTING PHRASE (so that)	(2) RESULTS (Use output results when possible)	(3) STANDARDS OF PERFORMANCE (A standard of performance is a written description of the condition which will exist when a job is satisfactorily accomplished.) (e.g., performance will meet standard when ...) Use quantitative measures such as per cent, ratio, degree, number, time, cost and money whenever possible.
NOTE: These are major responsibilties, sometimes referred to as effectiveness areas. They should be generic rather than too specific. EXAMPLE: "Develop and install program budget system in the organization" rather than "Conduct a workshop to orient managers to program budgeting systems."		NOTE: Results should be stated so that they can be measured as closely as possible. Measured means verified, determined, specified, etc.	NOTE: Should include: Statement of results desired and the means of measurement. These statements should also be as free as possible from misinterpretation. The results should be within the realm of attainability.

APPENDIX D

CERTIFICATED EVALUATION FORM _____

Name _____ Assignment _____

Supervisor _____

OBJECTIVES/ACTIVITIES (1)	EVALUATION DESIGN (2)	DATA COLLECTED (3)	EVALUATION STATEMENTS AND CONCLUSIONS (4)

CERTIFICATED EVALUATION FORM

Name _____

OBJECTIVES/ACTIVITIES (Continued) (1)	EVALUATION DESIGN (Continued) (2)	DATA COLLECTED (Continued) (3)	EVALUATION STATEMENTS AND CONCLUSIONS (Continued) (4)

Suggestions: (Process/Program)

PLAN ADOPTED BY:

Certificated Employee: _____

Supervisor: _____

Plan Adoption Date: _____

FINAL REVIEW BY:

Certificated Employee: _____

Supervisor: _____

Final Review Date: _____

THE FUNCTION OF A MANAGER

As nearly everyone knows,
an executive has practically nothing to do
except:

to decide what is to be done;
to tell somebody to do it;
to listen to reasons why it should not be done,
why it should be done in a different way,
or why it should be done by someone else;
to follow up to see if the thing has been done;
to discover that it has not;
to inquire why;
to listen to excuses from the person who should have done it;
to follow up again to see if the thing has been done, only
to discover that it has been done incorrectly;
to point out how it should have been done;
to conclude that as long as it has been done,
it may as well be left as it is;
to wonder if it is not time to get rid of a person
who cannot do a thing right;
to reflect that he probably has a wife and a large family;
and that certainly any successor would be just as bad,
and maybe worse;
to consider how much simpler and better the thing would have been done,
if one had done it oneself in the first place;
to reflect sadly that one could have done it right in twenty minutes,
and, as things turned out, one has had to spend two days,
to find out why it has taken three weeks
for somebody else to do it wrong.

(ANONYMOUS)